

7051

Access DB#

56426

## SEARCH REQUEST FORM

Scientific and Technical Information Center

Rush.

Interim with it. my  
discuss in site

Requester's Full Name: Charles Kyle Examiner #: 72313 Date: 12/10/2001  
 Art Unit: 2164 Phone Number 30 54458 Serial Number: 09/289550  
 Mail Box and Bldg/Room Location: PK2 5B50 Results Format Preferred (circle): PAPER DISK E-MAIL

If more than one search is submitted, please prioritize searches in order of need.

\*\*\*\*\*

Please provide a detailed statement of the search topic, and describe as specifically as possible the subject matter to be searched. Include the elected species or structures, keywords, synonyms, acronyms, and registry numbers, and combine with the concept or utility of the invention. Define any terms that may have a special meaning. Give examples or relevant citations, authors, etc, if known. Please attach a copy of the cover sheet, pertinent claims, and abstract.

Title of Invention: User Interface for Electronic Trading System

Inventors (please provide full names): Richard W. Friessen, Peter C. Hart

Earliest Priority Filing Date: 4/09/1999

\*For Sequence Searches Only\* Please include all pertinent information (parent, child, divisional, or issued patent numbers) along with the appropriate serial number.

I need information on trading systems having bids and asks which display information on all bids and offers to all traders. <sup>many</sup> Prior art systems do not provide anymore than best bid or lowest offer for traders' views. Showing all bids and offers in the trading interface allows all traders to understand and analyze the market. Best case art would show such information in the format of enclosed figure 3B, elements 304(9), 300(10) etc. I enclose my prior 892 and copies of claims as amended. Also see enclosed Garcia US 6 272 474. See keywords highlighted on claims for concepts

## STAFF USE ONLY

## Type of Search

## Vendors and cost where applicable

Searcher: Diana M. Harte NA Sequence (#) \_\_\_\_\_ STN \_\_\_\_\_  
 Searcher Phone #: 703/308-7795 AA Sequence (#) \_\_\_\_\_ Dialog \$ 755.03  
 Searcher Location: EC 2100/4830 Structure (#) \_\_\_\_\_ Questel/Orbit \_\_\_\_\_  
 Date Searcher Picked Up: Dec 10, 2001 Bibliographic ☒ Dr. Link \_\_\_\_\_  
 Date Completed: Dec 11, 2001 (Only 1 day) Litigation ☒ Lexis/Nexis \_\_\_\_\_  
 Searcher Prep & Review Time: 95 Fulltext ☒ Sequence Systems \_\_\_\_\_  
 Clerical Prep Time: \_\_\_\_\_ Patent Family \_\_\_\_\_ WWW/Internet \_\_\_\_\_  
 Online Time: 185 Other \_\_\_\_\_ Other (specify) \_\_\_\_\_

PTO-1590 (8-01)

12-10-01, A11:13 IN

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

METHOD AND APPARATUS FOR PROCESSING SECURITIES TRANSACTIONS  
PROCEDE ET APPAREIL PERMETTANT DE TRAITER DES TRANSACTIONS PORTANT SUR DES  
TITRES

17/TI/32 (Item 20 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

METHOD FOR ONLINE DISPLAY AND NEGOTIATION OF CARGO RATES  
PROCEDE D'AFFICHAGE EN LIGNE ET NEGOCIATION DE TARIFS DE CARGAISON

17/TI/33 (Item 21 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

METHODS, CONCEPTS AND TECHNOLOGY FOR A VIRTUAL SHOPPING SYSTEM CAPABLE OF  
ASSESSING NEEDS OF A CUSTOMER AND RECOMMENDING A PRODUCT OR SERVICE  
BASED ON SUCH ASSESSED NEEDS  
PROCEDES, CONCEPTS ET TECHNOLOGIE POUR SYSTEME D'ACHAT VIRTUEL CAPABLE  
D'EVALUER LES BESOINS D'UN CLIENT ET DE RECOMMANDER UN PRODUIT OU UN  
SERVICE SUR LA BASE DE CES BESOINS

17/TI/34 (Item 22 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

METHOD FOR FACILITATING A CONTINUOUS MARKET AUCTION SYSTEM  
PROCEDE FACILITANT UN SYSTEME DE VENTE AUX ENCHERES PERMANENT

17/TI/35 (Item 23 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

MORTGAGE AUCTION PROCESS MODEL  
MODELE D'UN PROCESSUS D'ENCHERES HYPOTHECAIRES

17/TI/36 (Item 24 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

ELECTRONIC DOCUMENT STORAGE AND RETRIEVAL SYSTEM AND METHOD  
SYSTEME ET PROCEDE DE RECUPERATION ET DE STOCKAGE DE DOCUMENTS  
ELECTRONIQUES

17/TI/37 (Item 25 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

BID MESSAGE PROCESSING FOR REAL-TIME AUCTIONS  
TRAITEMENT DE MESSAGES D'OFFRES POUR VENTES AUX ENCHERES EN TEMPS REEL

17/TI/38 (Item 26 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

METHOD AND SYSTEM FOR DELIVERING AND REDEEMING DYNAMICALLY AND ADAPTIVELY  
CHARACTERIZED PROMOTIONAL INCENTIVES ON A COMPUTER NETWORK  
PROCEDE ET SYSTEME PERMETTANT DE DISTRIBUER ET D'ECHANGER DES INCITATIONS  
PROMOTIONNELLES CARACTERISEES DE MANIERE DYNAMIQUE ET ADAPTATIVE SUR UN  
RESEAU

17/TI/39 (Item 27 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

SYSTEMS, METHODS AND COMPUTER PROGRAM PRODUCTS FOR ELECTRONIC TRADING OF  
FINANCIAL INSTRUMENTS

SYSTEMES, METHODES ET PROGRAMMES INFORMATIQUES DESTINES A LA NEGOCIATION  
ELECTRONIQUE D'INSTRUMENTS FINANCIERS

17/TI/40 (Item 28 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

COMPUTER METHOD AND SYSTEM FOR INTERMEDIATED EXCHANGES OF COMMODITIES  
PROCEDE INFORMATIQUE ET SYSTEME POUR ECHANGE DE BIENS MOBILIERES ET  
MATERIELS A L'AIDE D'UN INTERMEDIAIRE

17/TI/41 (Item 29 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

A METHOD OF HOLDING AN AUCTION AND USES OF THE METHOD  
PROCEDE DE VENTE AUX ENCHERES ET SES UTILISATIONS

17/TI/42 (Item 30 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

DISTRIBUTED MATCHING SYSTEM FOR DISPLAYING A BOOK OF CREDIT FILTERED BIDS  
AND OFFERS

SYSTEME D'APPARIEMENT REPARTI POUR L'AFFICHAGE DE SOUMISSIONS ET D'OFFRES  
FILTRES EN FONCTION D'UN LIVRE DE CREDIT

17/TI/43 (Item 31 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

METHOD AND SYSTEM FOR PERFORMING AUTOMATED FINANCIAL TRANSACTIONS INVOLVING  
FOREIGN CURRENCIES

PROCEDE ET SYSTEME PERMETTANT D'EXECUTER DES TRANSACTIONS FINANCIERES  
AUTOMATIQUES EN DEVICES ETRANGERES

?

?show files;ds

File 350:Derwent WPIX 1963-2001/UD,UM &UP=200172

(c) 2001 Derwent Info Ltd

File 344:CHINESE PATENTS ABS APR 1985-2001/Oct

(c) 2001 EUROPEAN PATENT OFFICE

File 347:JAPIO OCT 1976-2001/Aug(UPDATED 011203)

(c) 2001 JPO & JAPIO

File 371:French Patents 1961-2001/BOPI 200148

(c) 2001 INPI. All rts. reserv.

Set	Items	Description
S1	105990	AUCTION? OR BIDDING? OR TRADING OR MATCHING OR BUY(5N) SELL
S2	2548925	DISPLAY? OR INTERFACE? OR UI OR GUI OR SCREEN OR SHOW OR S-HOWS OR SHOWING OR VISUALI? OR VIEW? OR GRAPH?
S3	474	(ALL OR EVERY OR EACH OR COMPLETE OR ENTIRE OR TOTAL OR WHOLE OR AGGREGAT? OR GROSS OR TOTALITY) (3W) (BID OR BIDS OR OFFER OR OFFERS)
S4	573	(ALL OR EVERY OR EACH OR COMPLETE OR ENTIRE OR TOTAL OR WHOLE OR AGGREGAT? OR GROSS OR TOTALITY) (3W) (TRADERS OR MERCHANTS OR DEALERS OR PLAYERS OR MERCHANDISERS OR VENDORS OR VENDERS OR SPECULATORS)
S5	397961	ICON OR ICONS OR ICONIC OR PICTORIAL? OR SIGN OR SYMBOL? OR BAR OR BARS OR SLIDE()RULE? ? OR CANDLE?
S6	28	S2(6N)S3
S7	52	S2(6N)S4
S8	1	S6 AND S7
S9	2	S3 AND S4
S10	1	S9 NOT S8
S11	10	S1 AND S6
S12	1	S1 AND S7
S13	11	S11:S12 NOT (S8:S9)
S14	267	S1 AND S2(5N)S5
S15	1	S14 AND PN=US 6272474
S16	18	S14 AND IC=G06F-017/60
S17	38	S14 AND IC=G06F-017
S18	38	S16:S17
S19	37	S18 NOT S13
S20	0	S14 AND IC=G06F-015/30
S21	12	S14 AND IC=G06F-017/30
S22	1	PN=EP 388162
S23	406	S1 AND S2(20N)S5
S24	1	S22 AND S23
S25	15	S23 AND IC=G06F-017/30
S26	48	S23 AND IC=G06F-017
S27	33	S26 NOT S25
S28	41	S23 AND IC=G06F-015
S29	38	S28 NOT S26
?		

US 6,272,474 B1

Found in EIC

search as well  
as by Examiner.

WO 91/54039 A2  
found in EIC  
search

?show files;ds

File 348:EUROPEAN PATENTS 1978-2001/NOV W04

(c) 2001 European Patent Office

File 349:PCT FULLTEXT 1983-2001/UB=20011206,UT=20011129

(c) 2001 WIPO/Univentio

Set	Items	Description
S1	67347	AUCTION? OR BIDDING? OR TRADING OR MATCHING OR BUY(5N)SELL
S2	871844	DISPLAY? OR INTERFACE? OR UI OR GUI OR SCREEN OR SHOW OR S-HOWS OR SHOWING OR VISUALI? OR VIEW? OR GRAPH?
S3	1840	(ALL OR EVERY OR EACH OR COMPLETE OR ENTIRE OR TOTAL OR WHOLE OR AGGREGAT? OR GROSS OR TOTALITY) (3W) (BID OR BIDS OR OFFER OR OFFERS)
S4	1488	(ALL OR EVERY OR EACH OR COMPLETE OR ENTIRE OR TOTAL OR WHOLE OR AGGREGAT? OR GROSS OR TOTALITY) (3W) (TRADERS OR MERCHANTS OR DEALERS OR PLAYERS OR MERCHANDISERS OR VENDORS OR VENDERS OR SPECULATORS)
S5	472982	ICON OR ICONS OR ICONIC OR PICTORIAL? OR SIGN OR SYMBOL? OR BAR OR BARS OR SLIDE()RULE? ? OR CANDLE?
S6	179	S2(6N)S3
S7	177	S2(6N)S4
S8	11	S1 AND S6 AND S7
S9	120678	S2(20N)S5
S10	927	S1(20N)S9
S11	92	S10 AND S3
S12	68	S4 AND S10
S13	57	S11:S12 AND IC=(G06F-015 OR G06F-017)
S14	63	S8 OR S13
S15	52	S13 NOT S8
S16	48	S11:S12 AND IC=(G06F-017/30 OR G06F-017/60 OR G06F-015/30)
S17	43	S16 NOT S8
?		

?t13/4/all

13/4/1 (Item 1 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 2001-625482/200172|

XR- <XRPX> N01-466229|

TI- Disguised price **bidding** in online **auctions** , where submitted bids are ordered on a basis of a comparative bid parameter used by an originator of an **auction** , and the ordinal rank of a bid is reported to the bidder|

PA- FREEMARKETS INC (FREE-N)|

AU- <INVENTORS> KINNEY S E; LEVIS J P; STEVENS R G|

NC- 087|

NP- 002|

PN- WO 200154040 A1 20010726 WO 2001US2233 A 20010124 200172 B|

PN- AU 200131094 A 20010731 AU 200131094 A 20010124 200172|

AN- <LOCAL> WO 2001US2233 A 20010124; AU 200131094 A 20010124|

AN- <PR> US 2000490868 A 20000124|

FD- WO 200154040 A1 G06F-017/60

<DS> (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN YU ZA ZW

<DS> (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

FD- AU 200131094 A G06F-017/60 Based on patent WO 200154040|

LA- WO 200154040(E<PG> 37)|

DS- <NATIONAL> AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN YU ZA ZW|

DS- <REGIONAL> AT; BE; CH; CY; DE; DK; EA; ES; FI; FR; GB; GH; GM; GR; IE; IT; KE; LS; LU; MC; MW; MZ; NL; OA; PT; SD; SE; SL; SZ; TR; TZ; UG; ZW|

AB- <PN> WO 200154040 A1|

AB- <NV> NOVELTY - Method of conducting an electronic online **auction** between potential bidders, comprises the steps of: (a) receiving bids from bidders; (b) ranking the bids in order of attractiveness; and (c) for **each bid** , **displaying** the rank determined in step (b) to the bidder who made the bid.|

AB- <BASIC> DETAILED DESCRIPTION - INDEPENDENT CLAIM is also included for the following:computer program

USE - For online electronic **auctions** .

ADVANTAGE - Allows users to conduct a sealed **bidding** online **auction** , where the value of the winning bid is hidden from other bidders, by enabling the **auction** system to disguise the actual value of bids from bidders. The bidders only know the ordinal rank of their bids rather than the value of other bidder's bids. Competitive interaction occurs when bids are received that change the ordinal rank, thereby inducing a competitive response.

DESCRIPTION OF DRAWING(S) - The flow chart shows a disguised **bidding** ordering process.

pp; 37 DwgNo 6/6|

DE- <TITLE TERMS> DISGUISE; PRICE; BID; **AUCTION** ; SUBMIT; BID; ORDER; BASIS; COMPARE; BID; PARAMETER; **AUCTION** ; ORDINAL; RANK; BID|

DC- T01; T05|

IC- <MAIN> G06F-017/60|

MC- <EPI> T01-H07C5E; T01-J05A1; T01-J05A2; T01-S03; T05-L02|

FS- EPI||

Search Report from Ginger D. Roberts

13/4/2 (Item 2 from file: 350)  
DIALOG(R) File 350:Derwent WPIX  
(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*  
AA- 2001-483169/200152|  
XR- <XRPX> N01-357647|  
TI- Computer-based interactive processing and display of information such  
as **trading** transactions|  
PA- HOUSTON STREET EXCHANGE INC (HOUS-N) |  
AU- <INVENTORS> FREGEAU P M; GETMAN F W; SLUDER K|  
NC- 093|  
NP- 002|  
PN- WO 200154039 A2 20010726 WO 2001US2105 A 20010122 200152 B|  
PN- AU 200136503 A 20010731 AU 200136503 A 20010122 200171|  
AN- <LOCAL> WO 2001US2105 A 20010122; AU 200136503 A 20010122|  
AN- <PR> US 2000488278 A 20000120|  
FD- WO 200154039 A2 G06F-017/60  
<DS> (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU  
CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR  
KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE  
SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW  
<DS> (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS  
LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW  
FD- AU 200136503 A G06F-017/60 Based on patent WO 200154039|  
LA- WO 200154039(E<PG> 97)|  
DS- <NATIONAL> AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE  
DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC  
LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI  
SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW|  
DS- <REGIONAL> AT; BE; CH; CY; DE; DK; EA; ES; FI; FR; GB; GH; GM; GR; IE;  
IT; KE; LS; LU; MC; MW; MZ; NL; OA; PT; SD; SE; SL; SZ; TR; TZ; UG; ZW|  
AB- <PN> WO 200154039 A2|  
AB- <NV> NOVELTY - Several network subscribers are connected to a network  
system, and rated according to predetermined criteria for fulfilling  
terms of **trading** transactions. Central system application and  
databases are accessed to retrieve **screen display** containing a list  
of all outstanding **bids** to **buy** and offer to **sell**, and a bid or  
offer is selected by responding to the bid or offer, and then saved in  
the system database. Transaction between network subscribers is  
automatically completed according to the rating assigned.|  
AB- <BASIC> DETAILED DESCRIPTION - An interactive display screen is used to  
present data information with respect to the totality of bids and  
offers for the commodity that is posted by the system subscribers.  
Access to the database is through a system application layer software  
that is resident at the system Web servers (108).  
USE - For processing and displaying in real time, large amounts of  
**trading** information in an interactive manner along with extrinsic  
information desired by system user.  
ADVANTAGE - Invention enables network (or system) subscribers (or  
users) to access and manipulate **trading** data information centrally  
available to the network subscribers, to display the **trading** data  
information in a **trading** friendly manner, to interact responsively  
with one or more other network subscribers to take actions with respect  
to certain displayed data information.  
DESCRIPTION OF DRAWING(S) - Diagram shows an embodiment of the  
present invention.  
Web servers (108)  
Internet information server (110)  
Transaction server (112)  
Database servers (114)  
pp; 97 DwgNo 1/29|  
DE- <TITLE TERMS> COMPUTER; BASED; INTERACT; PROCESS; DISPLAY; INFORMATION;

Search Report from Ginger D. Roberts

TRADE; TRANSACTION|  
DC- T01|  
IC- <MAIN> G06F-017/60|  
MC- <EPI> T01-J05A|  
FS- EPI||

13/4/3 (Item 3 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*  
AA- 2001-457154/200149|  
XR- <XRPX> N01-338842|  
TI- Allocating method for display space on web page in computer system  
identifying advertisements to be allocated to on-line display space  
after receiving multiple bids each indicating bid amount and  
advertisement|  
PA- AMAZON.COM INC (AMAZ-N)|  
AU- <INVENTORS> BEZOS J P; LOPEZ G; SPIEGEL J R|  
NC- 093|  
NP- 002|  
PN- WO 200135291 A2 20010517 WO 2000US29957 A 20001031 200149 B|  
PN- AU 200113549 A 20010606 AU 200113549 A 20001031 200152|  
AN- <LOCAL> WO 2000US29957 A 20001031; AU 200113549 A 20001031|  
AN- <PR> US 99437815 A 19991110|  
FD- WO 200135291 A2 G06F-017/60  
<DS> (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU  
CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR  
KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE  
SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW  
<DS> (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS  
LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW  
FD- AU 200113549 A G06F-017/60 Based on patent WO 200135291|  
LA- WO 200135291(E<PG> 53)|  
DS- <NATIONAL> AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE  
DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC  
LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI  
SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW|  
DS- <REGIONAL> AT; BE; CH; CY; DE; DK; EA; ES; FI; FR; GB; GH; GM; GR; IE;  
IT; KE; LS; LU; MC; MW; MZ; NL; OA; PT; SD; SE; SL; SZ; TZ; UG; ZW|  
AB- <PN> WO 200135291 A2|  
AB- <NV> NOVELTY - The method involves receiving multiple bids indicating a  
bid amount and an advertisement. A request is received to provide a web  
page to a user. A received bid is selected based at least in part on  
review of bid amounts. The advertisement of the selected bid is added  
to the web page. The selecting of a received bid is performed after  
receiving the request.|  
AB- <BASIC> USE - For conducting electronic commerce, esp. for identifying  
advertisements to be allocated to on-line display space.  
ADVANTAGE - Allows user to make use of vast amount of information  
available on web to make more informed buy and sell decisions.  
DESCRIPTION OF DRAWING(S) - The figure shows components of the  
display space system and sub-components of the schedule advertising  
component.  
pp; 53 DwgNo 6A, 6B/14|  
DE- <TITLE TERMS> ALLOCATE; METHOD; DISPLAY; SPACE; WEB; PAGE; COMPUTER;  
SYSTEM; IDENTIFY; ADVERTISE; ALLOCATE; LINE; DISPLAY; SPACE; AFTER;  
RECEIVE; MULTIPLE; BID; INDICATE; BID; AMOUNT; ADVERTISE|  
DC- T01|  
IC- <MAIN> G06F-017/60|  
MC- <EPI> T01-H07C3C; T01-H07C5E; T01-J05A1; T01-J05A2|  
FS- EPI||



13/4/4 (Item 4 from file: 350)

DIALOG(R) File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 2001-432414/200146|

XR- <XRPX> N01-320474|

TI- Montage for an automated market system for **trading** securities including receiving additional aggregate size quotes for security using a graphical user interface to display multiple price levels|

PA- NASDAQ STOCK MARKET INC (NASD-N)|

AU- <INVENTORS> BERKELEY A R; KETCHUM R G; ZEIGLER A I|

NC- 094|

NP- 002|

PN- WO 200122315 A2 20010329 WO 2000US25658 A 20000919 200146 B|

PN- AU 200140208 A 20010424 AU 200140208 A 20000919 200147|

AN- <LOCAL> WO 2000US25658 A 20000919; AU 200140208 A 20000919|

AN- <PR> US 99401875 A 19990923|

FD- WO 200122315 A2 G06F-017/60

<DS> (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

<DS> (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

FD- AU 200140208 A G06F-017/60 Based on patent WO 200122315|

LA- WO 200122315(E<PG> 27)|

DS- <NATIONAL> AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW|

DS- <REGIONAL> AT; BE; CH; CY; DE; DK; EA; ES; FI; FR; GB; GH; GM; GR; IE; IT; KE; LS; LU; MC; MW; MZ; NL; OA; PT; SD; SE; SL; SZ; TZ; UG; ZW|

AB- <PN> WO 200122315 A2|

AB- <NV> NOVELTY - The GUI (70) has two regions, displaying aggregated bids and offers (72) and a region with lines (72b,72c) displaying information for the next two best bids and offers (74) regardless of price difference from an inside quote. The current quote montage (74) also includes information relating to the inside bid and ask price with the aggregated total and agency amounts at that price of market makers (MM1,MM2...)|

AB- <BASIC> DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for a method of **trading** securities, for an electronic market, for a GUI and for a computer program product for operating the market.

USE - Order entry and display in electronic markets.

ADVANTAGE - Minimizing disclosure of identity of **trading** interests.

DESCRIPTION OF DRAWING(S) - The drawing shows an order entry GUI GUI (70)

Current quote montage (74)

pp; 27 DwgNo 4/7|

DE- <TITLE TERMS> MONTAGE; AUTOMATIC; MARKET; SYSTEM; TRADE; SECURE; RECEIVE; ADD; AGGREGATE; SIZE; SECURE; GRAPHICAL; USER; INTERFACE; DISPLAY; MULTIPLE; PRICE; LEVEL|

DC- T01; T05|

IC- <MAIN> G06F-017/60|

MC- <EPI> T01-H07C5E; T01-J05A1; T01-J12B; T01-S03; T05-L02|

FS- EPI||

13/4/5 (Item 5 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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IM- \*Image available\*

AA- 2001-122650/200113|

XR- <XRPX> N01-090095|

TI- Transactional information display method for electronic trading system, involves displaying bid icon, corresponding to bid of items, at location along axis of values|

PA- EPIT INC (EPIT-N)|

AU- <INVENTORS> FRIESEN R; HART P C|

NC- 085|

NP- 002|

PN- WO 200062187 A2 20001019 WO 2000US9369 A 20000407 200113 B|

PN- AU 200040801 A 20001114 AU 200040801 A 20000407 200113|

AN- <LOCAL> WO 2000US9369 A 20000407; AU 200040801 A 20000407|

AN- <PR> US 99289550 A 19990409|

FD- WO 200062187 A2 G06F-017/00

<DS> (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN YU ZA ZW

<DS> (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW NL OA PT SD SE SL SZ TZ UG ZW

FD- AU 200040801 A G06F-017/00 Based on patent WO 200062187|

LA- WO 200062187(E<PG> 52)|

DS- <NATIONAL> AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN YU ZA ZW|

DS- <REGIONAL> AT; BE; CH; CY; DE; DK; EA; ES; FI; FR; GB; GH; GM; GR; IE; IT; KE; LS; LU; MC; MW; NL; OA; PT; SD; SE; SL; SZ; TZ; UG; ZW|

AB- <PN> WO 200062187 A2|

AB- <NV> NOVELTY - A bid icon corresponding to bid of items, is displayed at a location along a first axis of values corresponding to the value of the bid. An offer icon, corresponding to an offer type order for items, is displayed at a location along the first axis of values corresponding to the value of the offer.|

AB- <BASIC> DETAILED DESCRIPTION - An order token whose size is adjustable by the user is provided to reflect the quantity of the order. An order icon is moved to a location corresponding to the value of the order. A request for an order is received responsive to user action, specifying quantity of items and value for the order. A requested order icon corresponding to the specified quantity and value information is displayed. INDEPENDENT CLAIMS are also included for the following:

- (a) method for placing an order for an item;
- (b) method of displaying trading activity of traders;
- (c) program product;
- (d) method for conducting the buying and selling of items;
- (e) system for conducting the buying and selling of item;
- (f) method for providing an interface to electronic trading system;

- (g) user interface for electronic trading system

USE - For providing graphical user interface in electronic trading systems.

ADVANTAGE - Allows remote trader to view trends in the orders for an item. Provides the trading information in an easy to see and interpret graphical format. Each client terminal displays all of the outstanding bids and offers for an item. Enables the trader to anticipate demand for the item.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of electronic trading system.

pp; 52 DwgNo 1/11|

Search Report from Ginger D. Roberts

DE- <TITLE TERMS> INFORMATION; DISPLAY; METHOD; ELECTRONIC; TRADE; SYSTEM;  
DISPLAY; BID; CORRESPOND; BID; ITEM; LOCATE; AXIS; VALUE|  
DC- T01; T05|  
IC- <MAIN> G06F-017/00|  
MC- <EPI> T01-H07C5; T01-J05A1; T01-J12D; T05-L01D|  
FS- EPI||

13/4/6 (Item 6 from file: 350)  
DIALOG(R) File 350:Derwent WPIX  
(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*  
AA- 2001-080052/200109|  
XR- <XRPX> N01-061000|  
TI- Electronic online **auctioning** method for industrial purchasers,  
involves transmitting net present value bid information enabling  
bidders to view relative comparison of net present value bids submitted  
by them|  
PA- FREEMARKETS ONLINE INC (FREE-N)|  
AU- <INVENTORS> BECKER D J; BERNARD A F; HECKMANN D C; KINNEY S E; MEAKEM G  
T; RAGO V F; RUPP W D; STEVENS R G|  
NC- 089|  
NP- 002|  
PN- WO 200058896 A2 20001005 WO 2000US8387 A 20000331 200109 B|  
PN- AU 200041815 A 20001016 AU 200041815 A 20000331 200109|  
AN- <LOCAL> WO 2000US8387 A 20000331; AU 200041815 A 20000331|  
AN- <PR> US 99282156 A 19990331|  
FD- WO 200058896 A2 G06F-017/60  
<DS> (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE  
DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK  
LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL  
TJ TM TR TT TZ UA UG UZ VN YU ZA ZW  
<DS> (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS  
LU MC MW NL OA PT SD SE SL SZ TZ UG ZW  
FD- AU 200041815 A G06F-017/60 Based on patent WO 200058896|  
LA- WO 200058896 (E<PG> 32)|  
DS- <NATIONAL> AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM  
EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS  
LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM  
TR TT TZ UA UG UZ VN YU ZA ZW|  
DS- <REGIONAL> AT; BE; CH; CY; DE; DK; EA; ES; FI; FR; GB; GH; GM; GR; IE;  
IT; KE; LS; LU; MC; MW; NL; OA; PT; SD; SE; SL; SZ; TZ; UG; ZW|  
AB- <PN> WO 200058896 A2|  
AB- <NV> NOVELTY - A net present bid value is generated using net present  
value bid information received from bidder, which represents sum of  
series of payments over contract term segments discounted to present  
value using preset structure. The net present value bid information  
enabling bidders to view relative comparison of net present value bids  
submitted by them, is transmitted to the bidders.|  
AB- <BASIC> DETAILED DESCRIPTION - The net present value bid information  
includes multi-segment **bidding** parameters defining pattern of  
payments over several contract term segments. The parameters are unit  
bid, contract length, contract quantity, price value and price  
reduction value. INDEPENDENT CLAIMS are also included for the  
following:  
(a) system for conducting electronic online **auction** ;  
(b) method for participating in electronic online **auction** ;  
(c) computer program product  
USE - For e.g. conducting business-to-business **bidding** **auctions**  
for industrial purchasers.  
ADVANTAGE - Increases competitive dimensions upon which **auctions**  
is run by incorporating time value of money into **bidding** process.

Search Report from Ginger D. Roberts

Since time value of money is considered, a bidder offering steeper discounts in early years of multiple year contract look relatively more attractive than bidder whose discounts are offered in later years. The net present value methodology reduces all possible options over multiple years to one number for comparison purposes.

DESCRIPTION OF DRAWING(S) - The figure shows the calculation of total net present value bid using base year bid, quantity and annual percentage discounts.

pp; 32 DwgNo 6/8|

DE- <TITLE TERMS> ELECTRONIC; METHOD; INDUSTRIAL; TRANSMIT; NET; PRESENT;  
VALUE; BID; INFORMATION; ENABLE; VIEW; RELATIVE; COMPARE; NET; PRESENT;  
VALUE; BID; SUBMIT|

DC- T01|

IC- <MAIN> G06F-017/60|

MC- <EPI> T01-H07C5E; T01-J05A; T01-S03|

FS- EPI||

13/4/7 (Item 7 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 2000-115965/200010|

XR- <XRPX> N00-087814|

TI- Electronic bidding method for selling or purchasing consumer products  
|

PA- BARZILAI N (BARZ-I); DAVIDSON R (DAVI-I)|

AU- <INVENTORS> BARZILAI N; DAVIDSON R|

NC- 001|

NP- 001|

PN- US 6012045 A 20000104 US 97886492 A 19970701 200010 B|

AN- <LOCAL> US 97886492 A 19970701|

AN- <PR> US 97886492 A 19970701|

FD- US 6012045 A G06F-017/60|

LA- US 6012045(27)|

AB- <PN> US 6012045 A|

AB- <NV> NOVELTY - Several customer computers connected with a telecommunication system, accesses electronically established virtual showroom providing information regarding product, selling price and minimum opening bid price. Bids from bidders are posted on the products and services during bid period and selects highest bid as accepted bid. The bids greater than lowest high bid from single bidder are excluded.|

AB- <BASIC> DETAILED DESCRIPTION - The system electronically consummate sale of one of several products to highest bidder and accepts electronic payment of funds from the bidder. The system displays electronically all winning bids to all customers with a predetermined number of non-winning bids proximate to winning bids.

USE - For how to new and non-registered customers how to carry out an electronic bid, auction and sales of consumer products.

ADVANTAGE - A member can access his or her account activity file or screen from home page thereby establishing a user friendly bid, auction and sale system. Permits user to place a reasonable number of bids on a single product or service and provides entertainment to actual and potential customers.

DESCRIPTION OF DRAWING(S) - The figure shows membership program which is accessed by a customer or a call center system.

pp; 27 DwgNo 3/10|

DE- <TITLE TERMS> ELECTRONIC; BID; METHOD; SELL; PURCHASE; CONSUME; PRODUCT  
|

DC- T01; T05|

IC- <MAIN> G06F-017/60|

MC- <EPI> T01-H07C5; T01-J05A; T01-S02; T05-L02|

Search Report from Ginger D. Roberts

FS- EPI||

13/4/8 (Item 8 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 1998-456711/199839|

XR- <XRPX> N98-356461|

TI- On-line **auCTION** conducting method using computer network for fine art, collectible, real estate - involves allowing data transmission between bidders of remote locations and central computer through network, thereby enabling individual to participate in **auCTION** |

PA- HEALTH HERO NETWORK INC (HEAL-N) |

AU- <INVENTORS> BROWN S J|

NC- 001|

NP- 001|

PN- US 5794219 A 19980811 US 96603131 A 19960220 199839 B|

AN- <LOCAL> US 96603131 A 19960220|

AN- <PR> US 96603131 A 19960220|

FD- US 5794219 A G06F-017/60|

LA- US 5794219(14)|

AB- <BASIC> US 5794219 A

The method involves registering a number of **bidding** groups having total bid in a central computer. Then bids entered from the remote computers are received by the central computer. Each bid includes a bid amount and bid designation. The bid designation indicates a particular group among the **bidding** groups.

Each bid amount is then contributed to the total bid of the selected group. To all the bidders, a graphical picture and a description of current item being **auCTIONed** are **displayed**. Then, a group having largest **total bid** at the end of the **bidding** session is declared as the winning group.

USE - For various association, institution and museum.

ADVANTAGE - Permits individual bidders to pool their bids for desired item. Displays updated bid information in real time for bidders. Increases amount of funds of charity. Increases number of participant. Avoids use of only internet and modem.

Dwg.7/10|

DE- <TITLE TERMS> LINE; **AUCTION** ; CONDUCTING; METHOD; COMPUTER; NETWORK; FINE; ART; REAL; ESTATE; ALLOW; DATA; TRANSMISSION; REMOTE; LOCATE; CENTRAL; COMPUTER; THROUGH; NETWORK; ENABLE; INDIVIDUAL; PARTICIPATING; **AUCTION** |

DE- <ADDITIONAL WORDS> **INTERNET** ; **ETHERNET** |

DC- T01|

IC- <MAIN> G06F-017/60|

MC- <EPI> T01-H07C5E; T01-H07C5S; T01-J05A|

FS- EPI||

13/4/9 (Item 9 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

AA- 1983-814753/198345|

XR- <XRPX> N83-202719|

TI- Stock exchange automation using computer - by storing data records related to each security and **displaying** all actual **bids** and estimates of all potential customers|

PA- BRADDOCK W D (BRAD-I) |

AU- <INVENTORS> BRADDOCK W D|

NC- 001|

Search Report from Ginger D. Roberts

NP- 001|  
PN- US 4412287 A 19831025 198345 B|  
AN- <PR> US 82418297 A 19820915; US 75581840 A 19750529|  
FD- US 4412287 A |  
LA- US 4412287(22)|  
AB- <BASIC> US 4412287 A

The computer to match buy and sell orders for a number of stocks. An open board simultaneous trading environment is simulated through two stages. The first stage is an order accumulation period which is continuously in operation except for one stock in the second stage. The second stage is an extremely rapid sequential call through.

All orders for a given stock are available to customers during the first stage. During the second stage market orders are matched with market orders, then market orders are traded against limit orders as the trading price changes within controlled ranges. The system will also process stop orders, and other specialised transactions.|

DE- <TITLE TERMS> STOCK; EXCHANGE; AUTOMATIC; COMPUTER; STORAGE; DATA; RECORD; RELATED; SECURE; DISPLAY; ACTUAL; BID; ESTIMATE; POTENTIAL; CUSTOMER|  
DC- T01|  
IC- <ADDITIONAL> G06F-015/20|  
MC- <EPI> T01-J05|  
FS- EPI||

13/4/10 (Item 1 from file: 347)

FN- DIALOG(R)File 347:JAPIO|  
CZ- (c) 2001 JPO & JAPIO. All rts. reserv.|  
TI- AMUSEMENT DEVICE AND CONTROLLER  
PN- 2000-126460 -JP 2000126460 A-  
PD- May 09, 2000 (20000509)  
AU- FUJIMOTO KENTA; NISHIHARA MIKITO  
PA- SNK KK  
AN- 11-155965 -JP 99155965-  
AN- 11-155965 -JP 99155965-  
AD- June 03, 1999 (19990603) - - - - -  
PR- 10-341127 [JP 98341127], JP (Japan), November 12, 1998 (19981112)  
A63F-013/00; G09G-005/00; G10G-001/02; G10H-001/00  
AB- PROBLEM TO BE SOLVED: To enable a game to be progressed with musical instrument playing feeling by forming a controller into a musical instrument with plural operating parts in a game in which a game player gains points by operating the controller so as to match with images on a display screen and music from a speaker. SOLUTION: Each of game players looks into an image on a display 4 of the game device body 1 holding a controller 2, for instance, in a shape like a guitar on a stage 12 and listens in music from a speaker 5 and operates operation buttons of the controller 2 so as to match with the image and the music to gain and add points. The controller 2 is in the shape like the guitar and has five string buttons placed in a straight line on points corresponding to the string parts and one picking button at a place corresponding to a picking part. The game is progressed with guitar playing feeling by operating buttons 13, 14 matching with a scroll display on the display 4. COPYRIGHT: (C) 2000, JPO

13/4/11 (Item 2 from file: 347)

FN- DIALOG(R)File 347:JAPIO|  
CZ- (c) 2001 JPO & JAPIO. All rts. reserv.|  
TI- AUCTION SYSTEM FOR AUTOMOBILE AND THE LIKE  
PN- 01-211171 -JP 1211171 A-  
PD- August 24, 1989 (19890824)

Search Report from Ginger D. Roberts

AU- KANO SHUNZO  
PA- JIYANETSUTO KK [000000] (A Japanese Company or Corporation), JP (Japan)  
AN- 63-036704 -JP 8836704-  
AN- 63-036704 -JP 8836704-  
AD- February 19, 1988 (19880219)  
IC- -4- G06F-015/28; G06F-015/21  
CL- 45.4 (INFORMATION PROCESSING -- Computer Applications)  
SO- Section: P, Section No. 963, Vol. 13, No. 520, Pg. 32, November 21,  
1989 (19891121)  
AB- PURPOSE: To sell a commodity at **auction** on a real time basis by  
providing a data memory means to store picture and character  
information concerning a next **auction** at a terminal computer.

CONSTITUTION: The picture and character information of an automobile  
is transmitted from a host computer 1 through a repeating computer 2  
to a terminal computer 4. The transmitted information is displayed to  
the display device of the computer 4 as the **auction** information for  
a prescribed time, and during displaying, the next information is  
stored into the memory means of the computer 4. For a **displayed**  
**auction** price, **each** purchaser inputs a **bid** sign to express  
whether or not he has a will to purchase it through a bid key. The  
tendered bid sign is inputted to the computer 1, while, until its  
price rises up to the desired price of a seller inputs a slow-down  
key, the price is automatically bade up.

?

?t15/4/

15/4/1 (Item 1 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 2001-601224/ 200168 |

XR- <XRPX> N01-448449|

TI- Internet based stock information provision method for traders, involves displaying trade/stock information based on which traders are able to determine trading pattern of agents|

PA- GARCIA C B (GARC-I)|

AU- <INVENTORS> GARCIA C B|

NC- 001|

NP- 001|

PN- US 6272474 B1 20010807 US 99246304 A 19990208 200168 B|

AN- <LOCAL> US 99246304 A 19990208|

AN- <PR> US 99246304 A 19990208|

LA- US 6272474(12)|

AB- <PN> US 6272474 B1|

AB- <NV> NOVELTY - Stock information comprising bid and ask offers, size of bid/ask offers and identity of agents making each offer and trade information including volume, time and price of each trade are received. The received information is displayed on a display screen comprising bid/ask trade bars, based on which traders are able to determine the trading pattern of agents.|

AB- <BASIC> USE - For providing stock information such as National Association of Securities Dealers Automated Quotation (NASDAQ) level II information to traders through internet.

ADVANTAGE - Enables traders to determine trading patterns of the market makers in selected stocks, thereby increasing the probability of traders of buying the stocks at low price and selling high.

DESCRIPTION OF DRAWING(S) - The figure shows the candlestick price-volume chart selected for a particular agent.

pp; 12 DwgNo 6/6|

DE- <TITLE TERMS> BASED; STOCK; INFORMATION; PROVISION; METHOD; DISPLAY; TRADE; STOCK; INFORMATION; BASED; ABLE; DETERMINE; TRADE; PATTERN; AGENT|

DC- T01|

IC- <MAIN> G06F-017/60|

MC- <EPI> T01-J05A|

FS- EPI||

?



?t19/ti/all

19/TI/1 (Item 1 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Internet based stock information provision method for traders, involves displaying trade/stock information based on which traders are able to determine trading pattern of agents

19/TI/2 (Item 2 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Data segment presenting method in internet, involves producing and executing template on computing device by storing coordinates of specified data segment and address of data source

19/TI/3 (Item 3 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Visual display unit to indicate state of financial stock market trading shows bull and bear characters

19/TI/4 (Item 4 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Financial trading system includes program evaluation engine which determines whether market news satisfies user criteria

19/TI/5 (Item 5 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Service contract assistance method for service auction system, involves perusing list of symbols which show desired contract price and person who input desired contract price

19/TI/6 (Item 6 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Local area communication system for commercial transaction, communicates with mobile device of consumer to receive and transmit proposed offer information from local merchants

19/TI/7 (Item 7 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Virtual trading floor system in an interactive decision support system for monitoring and responding to system and market events displayed as a three-dimensional view

19/TI/8 (Item 8 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Computer readable medium for word processing system, has condensed lexion database with data tree having nodes containing reading pair identification number and instructions for mapping reading pair ID number array

Search Report from Ginger D. Roberts

19/TI/9 (Item 9 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Data processing system for computer implemented financial charting system, determines intra-market element processed for performing graphical display as a chart with bars

19/TI/10 (Item 10 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Transactional information displaying method for electronic trading of semi-fungible goods, involves displaying several book axes in single window to represent orders placed for respective semi-fungible goods

19/TI/11 (Item 11 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Symbol searching system for data processor, converts input name of article into numerical value and searches corresponding symbol in a memory which stores numerical values and matching symbols

19/TI/12 (Item 12 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Information presentation for electronic commerce transaction, involves displaying products search parameters and services matching entered parameters, and total cost of selected products in different display areas

19/TI/13 (Item 13 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Search algorithm in search system used for retrieving text information in world wide web

19/TI/14 (Item 14 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Input data display apparatus for displaying data with icon representing data content

19/TI/15 (Item 15 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Slot machine with further prizes for increased user playability

19/TI/16 (Item 16 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Integrated image information display method for use by attorneys, bankers and insurance industry personnel

19/TI/17 (Item 17 from file: 350)

Search Report from Ginger D. Roberts

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Computerised solid using identification system for use by doctor, pharmacist, paramedics - matches bar code data on medication item with data in medication identifier code database in computer, based on which item is identified and corresponding item information are displayed

19/TI/18 (Item 18 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Comparison method of attributes in object oriented database management system - involves comparing attribute values for non-designated parts with corresponding attribute values for baseline part and thereby displaying matching and non-matching attribute values

19/TI/19 (Item 19 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Graphic symbol editing and processing method - involves editing graphic symbol using recognition result which is obtained from ranking of symbol

19/TI/20 (Item 20 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Computer aided auction bidding apparatus - includes user interface which includes icons which aid auctioneer during auction and visual display which displays current bidding price in number of currencies

19/TI/21 (Item 21 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Software evaluation support system for software development - uses case tools and displays processed flow of data during execution of software and execution situation as tables

19/TI/22 (Item 22 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Card suspending management system for supervisory control of various installations - has control part which controls management mode of installation based on card suspending information table

19/TI/23 (Item 23 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Data searching appts - has control unit which displays desired data searched based on predetermined key word, in overlapped area

19/TI/24 (Item 24 from file: 350)

DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Transmission data monitoring and delivery system for information processing appts e.g. word processor - uses stage display processing part to process each stage display, based on order of stage

Search Report from Ginger D. Roberts

19/TI/25 (Item 25 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

File management method within computer system - adding new full path name of file to history queue when OS opens, creates or re-names file, searching queue for matching path name with new window title and displaying icon on screen when OS signals application processor of new window

19/TI/26 (Item 26 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

New event selection and scheduling for facility using softwareprogram - storing predefined and recurring facility attribute associated with graphical icon on PC, matching facility requirement with one icon previously created and dropping on on-line scheduler program for searching facilities for new event schedu

19/TI/27 (Item 27 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Item information loading system for merchandise - stores item information in one data a base and shelf identification information in another

19/TI/28 (Item 1 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

BUILDING DESIGNING DEVICE

19/TI/29 (Item 2 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

AUTOMATIC AUCTION METHOD

19/TI/30 (Item 3 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

SYMBOL DICTIONARY GENERATING METHOD AND SYMBOL DICTIONARY RETRIEVING METHOD

19/TI/31 (Item 4 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

CHASSIS DISPLAY BODY AND CHASSIS DISPLAY METHOD

19/TI/32 (Item 5 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

SYMBOL GRAPHIC EDITING PROCESSING METHOD

19/TI/33 (Item 6 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

DOCUMENT PROCESSOR AND ITS METHOD, AND STORAGE MEDIUM

Search Report from Ginger D. Roberts

19/TI/34 (Item 7 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

SUPPORTING DEVICE FOR TRAIN OPERATION CONTROL

19/TI/35 (Item 8 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

INFORMATION PRESENTING DEVICE

19/TI/36 (Item 9 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

INFORMATION DISPLAY DEVICE

19/TI/37 (Item 1 from file: 371)  
DIALOG(R)File 371:(c) 2001 INPI. All rts. reserv. All rts. reserv.  
Title: SYSTEME INFORMATIQUE DE GESTION DE VENTES AUX ENCHERES EN TEMPS REEL  
?

?t19/4/7,9,10,14,19,20,29

19/4/7 (Item 7 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 2001-465674/200150|

XR- <XRPX> N01-345451|

TI- Virtual trading floor system in an interactive decision support system for monitoring and responding to system and market events displayed as a three-dimensional view|

PA- NEW YORK STOCK EXCHANGE (NYST-N)|

AU- <INVENTORS> ALLEN A E; HICKS M; SEGAL D|

NC- 020|

NP- 002|

PN- WO 200155968 A2 20010802 WO 2001US3066 A 20010131 200150 B|

PN- FR 2804526 A1 20010803 FR 20011340 A 20010131 200150|

AN- <LOCAL> WO 2001US3066 A 20010131; FR 20011340 A 20010131|

AN- <PR> US 2000179296 P 20000131|

FD- WO 200155968 A2 G06T-011/20

<DS> (National): JP

<DS> (Regional): AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR|

LA- WO 200155968(E<PG> 35)|

DS- <NATIONAL> JP|

DS- <REGIONAL> AT; BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LU; MC; NL; PT; SE; TR|

AB- <PN> WO 200155968 A2|

AB- <NV> NOVELTY - A dashboard (301) provided below a three-dimensional view of a virtual trading floor (202) displays two-dimensional numerical and symbolic information of interest and can be separated into a system dashboard (302), a user selected dashboard (303) and a business dashboard (304), while containers on the floor area contain three-dimensional graphical information of interest. A group container (308) graphically displays statistics for a group of stock or other items, while navigation and display settings are provided through a control station.|

AB- <BASIC> DETAILED DESCRIPTION - AN INDEPENDENT CLAIM is included for a method and system for displaying data representing operation of an exchange.

USE - Displaying a three-dimensional model of a virtual trading floor.

ADVANTAGE - Allowing rapid assimilation of large amounts of information as events occur.

DESCRIPTION OF DRAWING(S) - The drawing shows the system

Dashboard (301)

Virtual trading floor (202)

Group container (308)

pp; 35 DwgNo 3/9|

DE- <TITLE TERMS> VIRTUAL; TRADE; FLOOR; SYSTEM; INTERACT; DECIDE; SUPPORT; SYSTEM; MONITOR; RESPOND; SYSTEM; MARKET; EVENT; DISPLAY; THREE; DIMENSION; VIEW|

DC- T01|

IC- <MAIN> G06F-017/50 ; G06T-011/20|

IC- <ADDITIONAL> G06F-017/60 ; G06T-017/00|

MC- <EPI> T01-J10C|

FS- EPI||

19/4/9 (Item 9 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 2001-458912/200150|

XR- <XRPX> N01-340235|

TI- Data processing system for computer implemented financial charting system, determines intra-market element processed for performing **graphical display** as a chart with **bars** |

PA- GOHEDGE ASSET MANAGEMENT LTD (GOHE-N)|

AU- <INVENTORS> CHONG K F R; LI V C P|

NC- 026|

NP- 001|

PN- EP 1109122 A2 20010620 EP 2000310672 A 20001201 200150 B|

AN- <LOCAL> EP 2000310672 A 20001201|

AN- <PR> US 99465336 A 19991217|

FD- EP 1109122 A2 G06F-017/60

<DS> (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI TR|

LA- EP 1109122(E<PG> 31)|

DS- <REGIONAL> AL; AT; BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LI; LT; LU; LV; MC; MK; NL; PT; RO; SE; SI; TR|

AB- <PN> EP 1109122 A2|

AB- <NV> NOVELTY - Data representing high and low prices traded by market during predetermined time interval is calculated by analyzing **trading** activity. **Trading** activity data is analyzed to determine intra-market element indicating price range during high and low **trading** activities or price interval during highest **trading** activity. Intra-market data element is processed for performing **graphical display** as chart with **bars** . |

AB- <BASIC> DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for method of analyzing price activities.

USE - Data processing system for computer implemented financial charting system for charting movements of financial market traded instruments, used by traders and analysts for predicting future price movements.

ADVANTAGE - Quantifies and overlays intra-market information on a chart and eliminates the need for observing and memorizing intra-market information by retrieving intra-market information instantly. Facilitates analysis of time series behavior as well as their relationships with usual OHLC. Enables to form new **trading** insights easily and to develop new technical analysis theories. Provides a new chart which resembles existing chart, so that traders who are used to wear the latter will not find new chart unfamiliar but rather more informative.

DESCRIPTION OF DRAWING(S) - The figure **shows** the appearance of **bar** in the **graphical** chart.

pp; 31 DwgNo 2A/19|

DE- <TITLE TERMS> DATA; PROCESS; SYSTEM; COMPUTER; IMPLEMENT; FINANCIAL; CHART; SYSTEM; DETERMINE; INTRA; MARKET; ELEMENT; PROCESS; PERFORMANCE; GRAPHICAL; DISPLAY; CHART; BAR|

DC- T01|

IC- <MAIN> G06F-017/60 |

MC- <EPI> T01-J05A|

FS- EPI||

19/4/10 (Item 10 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 2001-441109/200147|

XR- <XRPX> N01-326345|

TI- Transactional information displaying method for electronic **trading** of

Search Report from Ginger D. Roberts

semi-fungible goods, involves displaying several book axes in single window to represent orders placed for respective semi-fungible goods|

PA- EPIT INC (EPIT-N)|

AU- <INVENTORS> FRIESEN R W; KLIZAS M C|

NC- 087|

NP- 002|

PN- WO 200116852 A2 20010308 WO 2000US40797 A 20000830 200147 B|

PN- AU 200112500 A 20010326 AU 200112500 A 20000830 200147|

AN- <LOCAL> WO 2000US40797 A 20000830; AU 200112500 A 20000830|

AN- <PR> US 99151468 P 19990830|

FD- WO 200116852 A2 G06F-017/60

<DS> (National): AE AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK EE ES FI GB GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN YU ZA ZW

<DS> (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

FD- AU 200112500 A G06F-017/60 Based on patent WO 200116852|

LA- WO 200116852 (E<PG> 53)|

DS- <NATIONAL> AE AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK EE ES FI GB GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN YU ZA ZW|

DS- <REGIONAL> AT; BE; CH; CY; DE; DK; EA; ES; FI; FR; GB; GH; GM; GR; IE; IT; KE; LS; LU; MC; MW; MZ; NL; OA; PT; SD; SE; SL; SZ; TZ; UG; ZW|

AB- <PN> WO 200116852 A2|

AB- <NV> NOVELTY - A graphical user interface (1200) displays separate book axes (1208) to represent orders placed for respective semi-fungible goods in same window (1204). Order icons (1220) are **displayed** along the book axes to represent bid and offer for the semi-fungible goods.|

AB- <BASIC> DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

- (a) user interface;
- (b) Computer readable medium;
- (c) Buying method of semi-fungible goods

USE - For electronic **trading** of semi-fungible goods in stock market.

ADVANTAGE - Since the user interface displays information about several semi-fungible goods on a single screen, a trader is allowed to view markets for the different semi-fungible goods simultaneously. Thereby **trading** decisions can be made quickly and efficiently.

DESCRIPTION OF DRAWING(S) - The figure shows the screen shot of the user interface for **trading** semi-fungible goods.

Graphical user interface (1200)

Window (1204)

Book axes (1208)

Order icons (1220)

pp; 53 DwgNo 12/15|

DE- <TITLE TERMS> INFORMATION; DISPLAY; METHOD; ELECTRONIC; TRADE; SEMI; FUNGIBLE; GOODS; DISPLAY; BOOK; AXIS; SINGLE; WINDOW; REPRESENT; ORDER; PLACE; RESPECTIVE; SEMI; FUNGIBLE; GOODS|

DC- T01|

IC- <MAIN> G06F-017/60 |

MC- <EPI> T01-C02B1; T01-J05A2; T01-S03|

FS- EPI||

19/4/14 (Item 14 from file: 350)

DIALOG(R) File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 2000-041097/200004|



Search Report from Ginger D. Roberts

XR- <XRPX> N00-031192|  
TI- Input data display apparatus for displaying data with icon  
representing data content|  
PA- CASIO COMPUTER CO LTD (CASK )|  
AU- <INVENTORS> MATSUO S; TAKASU A|  
NC- 026|  
NP- 002|  
PN- EP 962870 A2 19991208 EP 99110594 A 19990601 200004 B|  
PN- JP 11353318 A 19991224 JP 98157657 A 19980605 200011|  
AN- <LOCAL> EP 99110594 A 19990601; JP 98157657 A 19980605|  
AN- <PR> JP 98157657 A 19980605|  
FD- EP 962870 A2 G06F-015/02  
<DS> (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV  
MC MK NL PT RO SE SI  
FD- JP 11353318 A G06F-017/30|  
LA- EP 962870 (E<PG> 23); JP 11353318 (15)|  
DS- <REGIONAL> AL; AT; BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LI;  
LT; LU; LV; MC; MK; NL; PT; RO; SE; SI|  
AB- <PN> EP 962870 A2|  
AB- <NV> NOVELTY - A match between input data and a keyword stored in an  
icon data storage unit is detected. Icon data stored in the icon  
storage unit corresponding to a keyword detected to match the input  
data, is added to the input data and displayed.|  
AB- <BASIC> DETAILED DESCRIPTION - A number of icon data elements and  
keywords respectively corresponding to the icon data elements are  
stored in an icon data storage unit. Matching between the data input  
by the data input unit, and a keyword stored in the icon data storage  
unit is detected. Icon data stored in the icon data storage unit,  
corresponding to a keyword which is detected to match the data input by  
the data input section, is added to the input data, and the obtained  
data is displayed. INDEPENDENT CLAIMS are included for a display  
control method for displaying input data with an icon representing  
the contents of the data; a recording medium storing a  
computer-readable display control program for displaying input data  
together with an icon representing data content.  
USE - Displaying input data with an icon representing the  
contents of the data.  
ADVANTAGE - An icon appropriate to data contents can be  
automatically added to the data, such that data can be displayed to  
allow the user to recognize the contents at a glance.  
DESCRIPTION OF DRAWING(S) - The drawing shows a data communications  
system constructed by combining a watch with a display according to the  
invention.  
Watch apparatus (1)  
Display section (2)  
Transceiver section (3)  
Loudspeaker (4)  
Mode switching keys (5a-5d)  
Computer (6)  
pp; 23 DwgNo 1/14|  
DE- <TITLE TERMS> INPUT; DATA; DISPLAY; APPARATUS; DISPLAY; DATA; REPRESENT  
; DATA; CONTENT|  
DC- T01|  
IC- <MAIN> G06F-015/02; G06F-017/30 |  
IC- <ADDITIONAL> G06F-003/00; G06F-017/60 |  
MC- <EPI> T01-C04B; T01-J01; T01-J12D; T01-M06A1A; T01-S03|  
FS- EPI||

19/4/19 (Item 19 from file: 350)  
DIALOG(R) File 350:Derwent WPIX  
(c) 2001 Derwent Info Ltd. All rts. reserv.

Search Report from Ginger D. Roberts

IM- \*Image available\*  
AA- 1998-516699/199844|  
XR- <XRPX> N98-404035|  
TI- **Graphic symbol** editing and processing method - involves editing  
**graphic symbol** using recognition result which is obtained from  
ranking of symbol|  
PA- MEIDENSHA CORP (MEID )|  
NC- 001|  
NP- 001|  
PN- JP 10228541 A 19980825 JP 9729918 A 19970214 199844 B|  
AN- <LOCAL> JP 9729918 A 19970214|  
AN- <PR> JP 9729918 A 19970214|  
FD- JP 10228541 A G06T-007/00|  
LA- JP 10228541(4)|  
AB- <BASIC> JP 10228541 A

The method involves reading a drawing document, optically. An outline information detector (11) recognises the outline information of the **graphic symbol**. The recognised outline information is stored into a dictionary using an outline information detector (12). Pattern matching of both the outline information are done and a ranking attachment is formed based on the obtained recognition distances.

The ranking attachment is done from the nearer distance and the ranking of the symbol code is decided. The symbol code for several dozens of places are chosen from the ranking and the recognition result, is obtained which is used for editing the **graphic symbol**.

ADVANTAGE - Corrects incorrect recognition **graphic symbol**, quickly. Reduces editing time.

Dwg.1/6|

DE- <TITLE TERMS> GRAPHIC; SYMBOL; EDIT; PROCESS; METHOD; EDIT; GRAPHIC;  
SYMBOL; RECOGNISE; RESULT; OBTAIN; RANK; SYMBOL|  
DC- T01; T04|  
IC- <MAIN> G06T-007/00|  
IC- <ADDITIONAL> **G06F-017/50** ; G06T-001/00|  
MC- <EPI> T01-J10A; T01-J10B2; T01-J15X; T04-D03B|  
FS- EPI||

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19/4/20 (Item 20 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*  
AA- 1998-079525/199808|  
XR- <XRPX> N98-063693|  
TI- Computer aided **auction bidding** apparatus - includes user interface  
which includes **icons** which aid **auctioneer** during **auction** and  
visual display which displays current **bidding** price in number of  
currencies|  
PA- VISUAL TECHNOLOGY PTY LTD (VISU-N)|  
AU- <INVENTORS> NOBLETT A P; ROSS R T; VOGEL M R|  
NC- 002|  
NP- 002|  
PN- GB 2315579 A 19980204 GB 9715805 A 19970725 199808 B|  
PN- AU 9730141 A 19980205 AU 9730141 A 19970723 199813|  
AN- <LOCAL> GB 9715805 A 19970725; AU 9730141 A 19970723|  
AN- <PR> AU 961237 A 19960725|  
FD- GB 2315579 A G06F-017/60  
FD- AU 9730141 A G06F-017/60|  
LA- GB 2315579(13)|  
AB- <BASIC> GB 2315579 A

The **auction bidding** apparatus includes a user interface for an **auction** controller to enter bid information into the computer system during an **auction**. The user interface includes a number of **icons**

containing possible future bids for the **auction** , and icons which are to be activated when one of a group of events occurs, The events include the **auction** item being sold at the **auction** , the **auction** item being sold prior to the **auction** , the **auction** item being withdrawn by the seller, the **auction** item being passed in below a reserve, and the **auction** item having no bids from bidders at the **auction** .

A database holds lots of objects to be **auctioned** and the interface allows a user to conduct an **auction** for each lot. A visual display unit is connected to the computer system for displaying a current **bidding** price during the **auction** . The current **bidding** price is displayed in a number of currencies, along with **bidding** historical data for the **auction** .

ADVANTAGE - Recording of bids is streamlined and information is made available in many different formats to audience to increase possible pace of repetitive interaction and cognition between audience and **auctioneer** to increase levels of excitement and heighten tension to increase **bidding** price.

Dwg.1/3|

DE- <TITLE TERMS> COMPUTER; AID; **AUCTION** ; BID; APPARATUS; USER; INTERFACE  
; AID; **AUCTION** ; VISUAL; DISPLAY; DISPLAY; CURRENT; BID; PRICE; NUMBER

DC- T01|

IC- <MAIN> G06F-017/60 |

IC- <ADDITIONAL> G06F-019/00|

MC- <EPI> T01-J12B1; T01-J12D|

FS- EPI||

19/4/29 (Item 2 from file: 347)

FN- DIALOG(R)File 347:JAPIO|

CZ- (c) 2001 JPO & JAPIO. All rts. reserv.|

TI- AUTOMATIC **AUCTION** METHOD

PN- 2001-060237 -JP 2001060237 A-

PD- March 06, 2001 (20010306)

AU- MORI MASAKATSU; OGURA MASAHIRO; TAKESHIMA MASAHIRO; ARAI KENJI

PA- HITACHI LTD

AN- 2000-226186 -JP 2000226186-

AN- 2000-226186 -JP 2000226186-

AN- Division of 08-233918 [JP 96233918]

AD- September 04, 1996 (19960904)

G06F-017/60

AB- PROBLEM TO BE SOLVED: To provide an automatic **auction** method with which an **auction** participant has not to be in front of an **auction** terminal when an **auction** is carried out by designating the highest allowable price on a screen in a competition mode, producing the **auction** ordering information including the allowable price and then transmitting the **auction** ordering information to an **auction** execution terminal. SOLUTION: A buyer client acquires the **auction** registering situation from an electronic market server via a registering situation screen 51. An ordered commodity list 511, i.e., a list of commodities which are ordered by the buyers is displayed on the screen 51 together with the icons of an **auction** ordering information display/correction button 512, an ordering stop button 513, an **auction** result display button 514 and a button 515 which closes the screen 51 respectively. The list 511 shows a list of commodities which are ordered. When the **auction** ordering information is displayed/corrected, an object ordering commodity is selected from the list 511 and then the button 512 is pushed for displaying the **auction** ordering information. COPYRIGHT: (C)2001,JPO

?

Search Report from Ginger D. Roberts

?t21/ti/all

21/TI/1 (Item 1 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Data segment presenting method in internet, involves producing and  
executing template on computing device by storing coordinates of  
specified data segment and address of data source

21/TI/2 (Item 2 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Symbol searching system for data processor, converts input name of  
article into numerical value and searches corresponding symbol in a  
memory which stores numerical values and matching symbols

21/TI/3 (Item 3 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Search algorithm in search system used for retrieving text information in  
world wide web

21/TI/4 (Item 4 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Input data display apparatus for displaying data with icon  
representing data content

21/TI/5 (Item 5 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Comparison method of attributes in object oriented database management  
system - involves comparing attribute values for non-designated parts  
with corresponding attribute values for baseline part and thereby  
displaying matching and non-matching attribute values

21/TI/6 (Item 6 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Data searching appts - has control unit which displays desired data  
searched based on predetermined key word, in overlapped area

21/TI/7 (Item 7 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

File management method within computer system - adding new full path name  
of file to history queue when OS opens, creates or re-names file,  
searching queue for matching path name with new window title and  
displaying icon on screen when OS signals application processor of  
new window

21/TI/8 (Item 1 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

SYMBOL DICTIONARY GENERATING METHOD AND SYMBOL DICTIONARY RETRIEVING METHOD

Search Report from Ginger D. Roberts

21/TI/9 (Item 2 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

DOCUMENT PROCESSOR AND ITS METHOD, AND STORAGE MEDIUM

21/TI/10 (Item 3 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

INFORMATION PRESENTING DEVICE

21/TI/11 (Item 4 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

INFORMATION DISPLAY DEVICE

21/TI/12 (Item 1 from file: 371)  
DIALOG(R)File 371:(c) 2001 INPI. All rts. reserv. All rts. reserv.  
Title: SYSTÈME INFORMATIQUE DE GESTION DE VENTES AUX ENCHÈRES EN TEMPS REEL  
?

?t29/ti/all

29/TI/1 (Item 1 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Device and method for converting languages and storage medium storage  
computer program for converting languages

29/TI/2 (Item 2 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Object oriented operating system enhancement for filtering items in  
window - uses object-oriented programming to provide filtering objects  
organised in filtering framework containing filter objects

29/TI/3 (Item 3 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Process for control of interface software and data files - matching  
base 10 control code to corresp internal event identification code, and  
composing message from internal event identification code for detection  
in main event loop of graphic user interface software

29/TI/4 (Item 4 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Automatic matching arrangement for spectacles or contact lenses -  
processes replies from patients to spoken questions e.g. after training  
phase with re-course to model answers

29/TI/5 (Item 5 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Interactive transaction system for auctions with remote bidders -  
provides remote bidders with terminal and TV to communicate bids to  
auction computer with inputs from auctioneer and other personnel

29/TI/6 (Item 6 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Pattern recognition appts. using area linking and region growth - has low  
level feature detection processor graph synthesis processor, ref.graph  
store and graph matching processor

29/TI/7 (Item 7 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Kinematic analysis method for mechanical linkages in computer aided  
engineering system - storing set of propagation rules that controls  
movement of systems linkage joints

29/TI/8 (Item 8 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Portable data search and digital processor - executes formula search and  
calculation functions through matching of dot matrix LCD with

operation of function keys and shift control keys

29/TI/9 (Item 9 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Market trading appts. with host computer and terminals - allows interaction between users allowing communication as if they were participants in physical stock bond market

29/TI/10 (Item 10 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Image processing system for optical seam tracker - has seam sensor vision system with optical sensor disposed ahead of effector end

29/TI/11 (Item 11 from file: 350)  
DIALOG(R)File 350:(c) 2001 Derwent Info Ltd. All rts. reserv.

Identification verification system applicable to disc film processing - provides for checking of film and envelope bar codes and for comparisons between negative and positive images

29/TI/12 (Item 1 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

PICTURE SYMBOL RECOGNIZING METHOD

29/TI/13 (Item 2 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

METHOD AND APPARATUS FOR CONSTITUTING DATA BASE OF POWER SYSTEM MONITORING CONTROL SYSTEM, METHOD AND APPARATUS FOR MANAGING DATA BASE OF POWER SYSTEM MONITORING CONTROL SYSTEM AND POWER SYSTEM MONITORING CONTROL SYSTEM

29/TI/14 (Item 3 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

OPERATION PROCESS FLOW GENERATING DEVICE

29/TI/15 (Item 4 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

MAP DISPLAY DEVICE

29/TI/16 (Item 5 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

KANA/KANJI CONVERSION PROCESSOR

29/TI/17 (Item 6 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

SYMBOL RECOGNIZING SYSTEM

Search Report from Ginger D. Roberts

29/TI/18 (Item 7 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

PRINTING POSITION SETTING DEVICE

29/TI/19 (Item 8 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

DRAWING CONTROL UNIT

29/TI/20 (Item 9 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

DOCUMENT PREPARING DEVICE

29/TI/21 (Item 10 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

SYMBOL RECOGNITION METHOD

29/TI/22 (Item 11 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

SYMBOL RECOGNIZING METHOD

29/TI/23 (Item 12 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

DOCUMENT PROCESSOR

29/TI/24 (Item 13 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

SYSTEM DIAGRAM ARRANGING DEVICE

29/TI/25 (Item 14 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

DESCRIBING SYSTEM FOR DIAGRAM SPECIFICATIONS

29/TI/26 (Item 15 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

DOCUMENT PREPARING DEVICE

29/TI/27 (Item 16 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

AUCTION SYSTEM FOR AUTOMOBILE AND THE LIKE

29/TI/28 (Item 17 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.



DRAWING RECOGNIZING DEVICE

29/TI/29 (Item 18 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

MUSIC SCORE CONVERSION SYSTEM

29/TI/30 (Item 19 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

GRAPHIC INFORMATION PROCESSING SYSTEM

29/TI/31 (Item 20 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

ELECTRONIC NOTEBOOK

29/TI/32 (Item 21 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

AUTOMATIC INPUT METHOD FOR PHONETIC KANA SYMBOL

29/TI/33 (Item 22 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

ROW END PROCESSING METHOD IN ENGLISH DOCUMENT PROCESSOR

29/TI/34 (Item 23 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

DOCUMENT MANAGING DEVICE

29/TI/35 (Item 24 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

GRAPHIC PATTERN EXTRACTING SYSTEM

29/TI/36 (Item 25 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

DRAWING INFORMATION INPUT METHOD

29/TI/37 (Item 26 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

DISPLAY SYSTEM OF PROOFREADING DEVICE FOR JAPANESE DOCUMENT

29/TI/38 (Item 27 from file: 347)  
DIALOG(R)File 347:(c) 2001 JPO & JAPIO. All rts. reserv.

METHOD FOR AUTOMATIC RESPONSE OF TERMINAL ADOPTING INFERENCE MEANS  
?

?t29/4/5,9,

29/4/5 (Item 5 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 1992-316424/199238|

XR- <XRPX> N92-242120|

TI- Interactive transaction system for **auctions** with remote bidders - provides remote bidders with terminal and TV to communicate bids to **auction** computer with inputs from **auctioneer** and other personnel|

PA- GRUSIN H T (GRUS-I); BEAUMONT MAXIN INT LTD (BEAU-N)|

AU- <INVENTORS> DIAMOND C J; FERNANDEZ M; GRUSIN H T; GRUSIN M; THOMAS A; FERNANDES M|

NC- 016|

NP- 002|

PN- WO 9215174 A1 19920903 WO 92GB337 A 19920225 199238 B|

PN- CA 2061819 A 19920826 CA 2061819 A 19920225 199246|

AN- <LOCAL> WO 92GB337 A 19920225; CA 2061819 A 19920225|

AN- <PR> GB 913907 A 19910225|

CT- 2.Jnl.Ref; DE 3316804; EP 342295; GB 2194088|

FD- WO 9215174 A1 H04N-007/173

<DS> (National): JP

<DS> (Regional): AT BE CH DE DK ES FR GB GR IT LU MC NL SE

FD- CA 2061819 A G06F-015/24|

LA- WO 9215174 (E<PG> 36)|

DS- <NATIONAL> JP|

DS- <REGIONAL> AT; BE; CH; DE; DK; ES; FR; GB; GR; IT; LU; MC; NL; SE|

AB- <BASIC> WO 9215174 A

A televised **auction** with remote bidders includes a host computer (2), a number of bidder terminals (4), a TV system (8, 10) and other **display** devices. Bidders **sign** -on to the system at a bidder terminals using a security card and can place bids by pressing a 'bid' key on the terminal. The **auctioneer** display (24) indicates the lots being sold and the last accepted bid. Control terminals are supplied for the currency conversions (26) operator and the system operator (28).

When a remote bidder places a bid, his terminal signals the host processor to invoke methods on each node of the distributed system.

ADVANTAGE - Provides distributed system to manage televised **auction** with remote bidders.

Dwg.1/5|

DE- <TITLE TERMS> INTERACT; TRANSACTION; SYSTEM; **AUCTION** ; REMOTE; REMOTE; TERMINAL; TELEVISION; COMMUNICATE; BID; **AUCTION** ; COMPUTER; INPUT; PERSONNEL|

DC- W02|

IC- <MAIN> G06F-015/24 ; H04N-007/173|

MC- <EPI> W02-F05A3C; W02-F06A; W02-F09|

FS- EPI||

29/4/9 (Item 9 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 1990-284351/199038|

XR- <XRPX> N90-219258|

TI- Market **trading** appts. with host computer and terminals - allows interaction between users allowing communication as if they were participants in physical stock bond market|

PA- CHICAGO BOARD TRADE (CHIC-N)|

AU- <INVENTORS> BELDEN G W; BOYLE M B; BROGAN J J; GUTTERMAN B J; KINSELLA

# Search Report from Ginger D. Roberts

J R; OHALLARAN T C; PHELPS B|  
 NC- 009|  
 NP- 007|  
 PN- EP 388162 A 19900919 EP 90302691 A 19900314 199038 B|  
 PN- WO 9010910 A 19900920 199040  
 PN- WO 9011571 A 19901004 199042  
 PN- AU 9054181 A 19901022 199104  
 PN- JP 3505498 W 19911128 JP 90505020 A 19900216 199203  
 PN- JP 3505938 W 19911219 JP 90505836 A 19900216 199206  
 PN- EP 388162 A3 19930303 EP 90302691 A 19900314 199349|  
 AN- <LOCAL> EP 90302691 A 19900314; JP 90505020 A 19900216; JP 90505836 A  
 19900216; EP 90302691 A 19900314|  
 AN- <PR> US 89329866 A 19890328; US 89322985 A 19890314|  
 CT- NoSR.Pub; 1.Jnl.Ref; GB 2161003; US 4412287; US 4677552; US 4760527; US  
 4799156; US 4903201|  
 FD- EP 388162 A  
 <DS> (Regional): DE ES FR GB NL  
 FD- WO 9010910 A  
 <DS> (National): AU CA JP KR  
 <DS> (Regional): DE ES FR GB NL  
 FD- WO 9011571 A  
 <DS> (National): AU CA JP KR|  
 DS- <NATIONAL> AU CA JP KR|  
 DS- <REGIONAL> DE; ES; FR; GB; NL|  
 AB- <BASIC> EP 388162 A

The appts. has a host computer and a number of user terminals in selective communication with the host. Each user terminal includes a selectively partitionable **display** by which market information is conveyed to the participant. **Icons** are used to represent traders, with each ikon including information relevant to the commodity being traded.

Periodic burst of update information is supplied to the user terminals. Two-way communication occurs between user terminal and host computer between update information bursts.

ADVANTAGE - Reduces back office costs to **trading** firms by decreasing volumn of paperwork and consequent errors.

Dwg.1a/8|

DE- <TITLE TERMS> MARKET; TRADE; APPARATUS; HOST; COMPUTER; TERMINAL; ALLOW  
 ; INTERACT; USER; ALLOW; COMMUNICATE; PARTICIPATING; PHYSICAL; STOCK;  
 BOND; MARKET|  
 DC- T01|  
 IC- <ADDITIONAL> G06F-015/30 |  
 MC- <EPI> T01-J05A|  
 FS- EPI||  
 ?

Search Report from Ginger D. Roberts

?t8/4/

8/4/1 (Item 1 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

AA- 1977-G1948Y/197730|

TI- Indicating board for bridge calls - has five rows of nine squares to  
show tricks and suits for each players bid |

PA- BARBIER R (BARB-I)|

NC- 004|

NP- 004|

PN- DE 2701076 A 19770721 197730 B|

PN- FR 2338724 A 19770923 197744

PN- US 4092026 A 19780530 197829

PN- GB 1550571 A 19790815 197933|

AN- <PR> FR 761342 A 19760120|

AB- <BASIC> DE 2701076 A

The board (1) is mounted on the sloping upper surface which is supported at one end (4) by a projecting strip (5). The board is divided into five columns with symbols (6) indicating clubs, diamonds, hearts, spades and no trumps. Each column is divided into nine squares.

There are seven squares to indicate the number of tricks in the bid and two squares to show pass or bid. A small cover lies over each square and is attached to a hinge underneath the board so that it can be swung clear of the top surface and reveal the value of the caller's bid. The device is useful for deaf players and also overcomes language difficulties in international matches.|

DE- <TITLE TERMS> INDICATE; BOARD; BRIDGE; CALL; FIVE; ROW; NINE; SQUARE;  
SHOW; TRICK; SUIT; PLAY; BID|

DC- P36|

IC- <ADDITIONAL> A63F-001/18|

FS- EngPI||

?

?t10/4/all

10/4/1 (Item 1 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2001 Derwent Info Ltd. All rts. reserv.

IM- \*Image available\*

AA- 1993-117286/199314|

XR- <XRPX> N93-089408|

TI- Card game with wagering on net or suit total - uses symbols having numerical value and designation as one of two different suits|

PA- BET TECHNOLOGY INC (BETT-N)|

AU- <INVENTORS> BOYLAN E B; DELISE A J; KOERNER R F|

NC- 020|

NP- 003|

PN- WO 9305855 A1 19930401 WO 92US8023 A 19920922 199314 B|

PN- AU 9227531 A 19930427 AU 9227531 A 19920922 199332

<AN> WO 92US8023 A 19920922

PN- US 5282633 A 19940201 US 91764306 A 19910923 199406

<AN> US 92932237 A 19920819|

AN- <LOCAL> WO 92US8023 A 19920922; AU 9227531 A 19920922; WO 92US8023 A 19920922; US 91764306 A 19910923; US 92932237 A 19920819|

AN- <PR> US 92932237 A 19920819; US 91764306 A 19910923|

CT- GB 700270; US 2687306; US 4262303; US 4948134|

FD- WO 9305855 A1 A63F-001/00

<DS> (National): AU BR CA RU

<DS> (Regional): AT BE CH DE DK ES FR GB GR IE IT LU MC NL SE

FD- AU 9227531 A A63F-001/00 Based on patent WO 9305855

FD- US 5282633 A A63F-001/00 CIP of application US 91764306

CIP of patent US 5141234|

LA- WO 9305855 (E<PG> 20); US 5282633 (8)|

DS- <NATIONAL> AU BR CA RU|

DS- <REGIONAL> AT; BE; CH; DE; DK; ES; FR; GB; GR; IE; IT; LU; MC; NL; SE|

AB- <BASIC> WO 9305855 A

The game involves cards (16) having a numerical value of one, two or three as well as a designation as one of only two suits, and no value cards (16) having no suit are dealt. A wager is then made on the attaining of a net total of a hand.

The net total of a hand is equal to a gross total of added numerical values of cards of one suit, less a gross total of added numerical values of cards of the other suit. An electronic version is also described, as is an alternate method of playing.

ADVANTAGE - Generates increased user interest and participation. Simple and easily understood.

Dwg.1/4|

AB- <US> US 5282633 A

Initially symbols such as cards having a numerical value of one, two, or three as well as a designation as one of two suits are supplied. In addition, there are also no value cards having no suit. A number of players are each dealt a hand using the cards or other symbols and then players in turn make increasing bids on a suit total until the bid of a last player is called by the next player to bid. This suit total is the total of added numerical values of the cards of the selected suit in the hands of all of the players.

The no value cards are also preferably used and bids can also be made on the number of these cards in the hands of the players. Alternately, the symbols are displayed on a video display screen as part of an electronic game device.

USE - For playing a wagering or bidding game whose outcome is determined by randomly received symbols.

Dwg.1,2/4|

DE- <TITLE TERMS> CARD; GAME; NET; SUIT; TOTAL; SYMBOL; NUMERIC; VALUE; DESIGNATED; ONE; TWO; SUIT|

Search Report from Ginger D. Roberts

DC- P36; W04 |  
IC- <MAIN> A63F-001/00 |  
FS- EPI; EngPI | |  
?

?t8/5/all

8/5/1 (Item 1 from file: 348)  
DIALOG(R) File 348:EUROPEAN PATENTS  
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00957813

PERSONAL ELECTRONIC SETTLEMENT SYSTEM, ITS TERMINAL, AND MANAGEMENT APPARATUS

PERSONLICHES ELEKTRONISCHES REGELUNGSSYSTEM, TERMINAL UND MANAGEMENTAPPARAT  
SYSTEME DE REGLEMENT ELECTRONIQUE PERSONNEL, TERMINAL DE CE DERNIER ET  
APPAREIL PERMETTANT DE GERER CE SYSTEME

PATENT ASSIGNEE:

MATSUSHITA ELECTRIC INDUSTRIAL CO., LTD., (216883), 1006, Oaza Kadoma,  
Kadoma-shi, Osaka-fu, 571, (JP), (applicant designated states:  
DE;FR;GB)

INVENTOR:

TAKAYAMA, Hisashi, 21-22, Matsubara 4-chome, Setagaya-ku, Tokyo 156, (JP)

LEGAL REPRESENTATIVE:

Casalonga, Axel et al (14511), BUREAU D.A. CASALONGA - JOSSE  
Morassistrasse 8, 80469 Munchen, (DE)

PATENT (CC, No, Kind, Date): EP 910028 A1 990421 (Basic)  
WO 9821677 980522

APPLICATION (CC, No, Date): EP 97912468 971114; WO 97JP4161 971114

PRIORITY (CC, No, Date): JP 96316897 961114; JP 97117681 970422

DESIGNATED STATES: DE; FR; GB

INTERNATIONAL PATENT CLASS: G06F-017/60;

CITED PATENTS (WO A): Y Y X

CITED REFERENCES (WO A):

TECHNICAL RESEARCH REPORT OF IEICE ISEC96-36, (October 1996), HIDEKI  
NAGANO et al., "A Method of Electronic Settlement (in Japanese)", pages  
33-38.

ACADEMIC PRESS, INC., (San Diego, USA), October 1995, (First Edition),

WAYNER PETER, "Digital Cash: Commerce on the Net", pages 85-100.

NTT R&D, 45(11), (November 1996), NIPPON TELEGRAPH & TELEPHONE CORP.,

KOICHI NOTONO et al., "Application of Authentication/Encoding

Technology to Electronic Shopping Mall (in Japanese)", pages 107-113.

REPORT ON SMART CARDS, Vol. 10, No. 19, (23 September 1996), ANONYMOUS,

"Ferroelectric Smart Cards Go to Market".

CREDIT CARD MANAGEMENT, Vol. 9, No. 1, (April 1996), DALY JAMES J.,

"Guarding the Rear", pages 42-48.;

ABSTRACT EP 910028 A1

According to the present invention provided is a settlement means that  
is superior in safety and usability. The settlement means comprises:  
payment means 100 including a plurality of systems of communication  
means; charging means 101 including a plurality of systems of  
communication means; and settlement means 102 including a plurality of  
systems of communication means. Since the payment means and the  
settlement means exchange transaction data by communicating with each  
other, it is possible to prevent the assessment of an illegal charge by  
the charging means. In addition, since a signature (a digital signature)  
and an accounting statement are exchanged by communication between the  
payment means and the charging means, the efficiency of the sale can be  
improved.

ABSTRACT WORD COUNT: 119

LEGAL STATUS (Type, Pub Date, Kind, Text):

Application: 981007 A1 International application (Art. 158(1))

Application: 990421 A1 Published application (A1with Search Report  
;A2without Search Report)

Examination: 990421 A1 Date of filing of request for examination:  
981012

LANGUAGE (Publication,Procedural,Application): English; English; Japanese

FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
CLAIMS A	(English)	9916	12261
SPEC A	(English)	9916	116678
Total word count - document A			128939
Total word count - document B			0
Total word count - documents A + B			128939

8/5/2 (Item 1 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00794335 \*\*Image available\*\*

REAL-TIME COMMODITY TRADING METHOD AND APPARATUS

PROCEDE ET APPAREIL D'OPERATIONS SUR MARCHANDISES EN TEMPS REEL

Patent Applicant/Inventor:

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Legal Representative:

SUDOL R Neil (agent), Coleman Sudol Sapone, P.C., 14th Floor, 708 Third  
Avenue, New York, NY 10017, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200127836 A1 20010419 (WO 0127836)

Application: WO 2000US27853 20001006 (PCT/WO US0027853)

Priority Application: US 99415392 19991008

Designated States: IL JP TR US

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

Main International Patent Class: G06F-017/60

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 19137

#### English Abstract

A method and a system including programmed general purpose digital computers on a computer network for effectuating the real-time trading of a commodity including, but not limited to, a currency. A commodity trading method implemented at a client or trader computer (12) connected to a computer network (14) (e.g. the Internet) includes (a) receiving, in encoded form via a computer network, a plurality of bids and a plurality of offers pertaining to a common commodity, (b) displaying the bids and offers on a computer monitor, (c) generating a trading offer including a trading rate or price per unit of the commodity and a number of units of the commodity, (d) automatically calculating a total stop amount for the trading offer, (e) automatically comparing the total stop amount with an amount in a client or trader account, and (f) transmitting a digital signal encoding the trading offer to multiple other clients via the computer network upon and only upon a determination that the total stop amount is less than an amount in the client account.

#### French Abstract

La presente invention concerne un procede et un systeme comprenant des calculateurs numeriques universels programmes sur un reseau informatique pour effectuer des operations sur marchandises en temps reel comportant, mais non de maniere exclusive, une monnaie. Le procede d'operations sur marchandises mis en oeuvre au niveau d'un ordinateur-client ou de commercant (12) relie au reseau informatique (14) (par exemple, Internet) comprend (a) la reception, sous forme codee via le reseau informatique, d'une pluralite de demandes et une pluralite d'offres relatives a une



meme marchandise; (b) l'affichage des demandes et d'offres sur un ecran d'ordinateur; (c) la generation d'une offre de vente comprenant le taux de commercialisation ou le prix a l'unite du produit et le nombre d'unites du produit; (d) le calcul automatique d'un montant d'arret total pour l'offre de transaction; (e) la comparaison automatique du montant total d'arret avec un compte-client ou de commercant; et (f) la transmission d'un signal numerique codant l'offre de transaction a une pluralite d'autres clients via le reseau informatique lorsqu'il est determine, et uniquement en ce cas, que le montant d'arret total est inferieur a un montant dans le compte-client.

Legal Status (Type, Date, Text)

Publication 20010419 A1 With international search report.

Publication 20010419 A1 Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.

Examination 20010913 Request for preliminary examination prior to end of 19th month from priority date

8/5/3 (Item 2 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00784136

A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR BUSINESS LOGIC SERVICES PATTERNS IN A NETCENTRIC ENVIRONMENT

SYSTEME, PROCEDE ET ARTICLE DE FABRICATION POUR STRUCTURES DE SERVICES DE LOGIQUE DE COMMERCE DANS UN ENVIRONNEMENT S'ARTICULANT AUTOUR DE L'INTERNET

Patent Applicant/Assignee:

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(Residence), US (Nationality)

Inventor(s):

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US,

Legal Representative:

HICKMAN Paul L (agent), Hickman Coleman & Hughes, LLP, P.O. Box 52037,  
Palo Alto, CA 94303-0746, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200116728 A2 20010308 (WO 0116728)

Application: WO 2000US24197 20000831 (PCT/WO US0024197)

Priority Application: US 99387658 19990831

Designated States: AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES  
FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD  
MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ  
VN YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-009/44

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 150863

English Abstract

A system, method, and article of manufacture are provided for implementing business logic service patterns for allowing reuse of a business object in a component-based architecture. An attribute

dictionary pattern is used for controlling access to data of a business object via an attribute dictionary. A constant class pattern is provided for ensuring correct data at an attribute level. The patterns are utilized for reusing a business object which is classified as a business component, a business service, and/or a business facility.

French Abstract

L'invention porte sur un systeme, un procede et un article de fabrication s'appliquant a la mise en oeuvre de structures de services de logique de commerce en vue d'etre autorise a utiliser un objet commercial dans une architecture a base de composants. Une structure de dictionnaire d'attributs est utilisee pour commander l'accès aux donnees d'un objet commercial via un dictionnaire d'attributs. Une structure de classement constant assure la correction des donnees a un niveau d'attributs. Les structures sont utilisees pour reutiliser un objet commercial classifie comme composant commercial, service commercial et/ou installation commerciale.

Legal Status (Type, Date, Text)

Publication 20010308 A2 Without international search report and to be republished upon receipt of that report.

8/5/4 (Item 3 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00784134

A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A CONSTANT CLASS COMPONENT IN A BUSINESS LOGIC SERVICES PATTERNS ENVIRONMENT

SYSTEME, PROCEDE ET ARTICLE MANUFACTURE UN COMPOSANT DE CLASSE DE CONSTANTE DANS UN ENVIRONNEMENT DE SCHEMAS DE SERVICES DE LOGIQUE D'AFFAIRES

Patent Applicant/Assignee:

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Inventor(s):

BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918  
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Legal Representative:

HICKMAN Paul L (agent), Hickman Coleman & Hughes, LLP, P.O. Box 52037,  
Palo Alto, CA 94303-0746, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200116726 A2 20010308 (WO 0116726)

Application: WO 2000US24188 20000831 (PCT/WO US0024188)

Priority Application: US 99387213 19990831

Designated States: AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES  
FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD  
MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ  
VN YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-009/44

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 150446

English Abstract

A system, method, and article of manufacture are provided for managing

constants in a computer program. A plurality of constant names are provided. Each of the constant names has a corresponding constant value. The constant names are grouped into constant classes based on an entity which the constant values represents. Access is allowed to the constant values by receiving a call including the corresponding constant name and corresponding constant class.

French Abstract

L'invention porte sur un systeme, un procede et un article de gestion des constantes d'un programme d'ordinateur. On etablit les noms de differentes constantes a chacun desquels correspond la valeur d'une constante, puis les noms sont regroupes par classes de constantes en fonction d'une entite representant les valeurs des constantes. L'accès a une valeur de constante est autorise lors de la reception d'un appel comprenant le nom et la classe de la constante correspondante.

Legal Status (Type, Date, Text)

Publication 20010308 A2 Without international search report and to be republished upon receipt of that report.  
Examination 20010809 Request for preliminary examination prior to end of 19th month from priority date

8/5/5 (Item 4 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00783303 \*\*Image available\*\*

**USER INTERFACE FOR SEMI-FUNGIBLE TRADING**  
**INTERFACE UTILISATEUR POUR ECHANGES SEMI-FONGIBLES**

Legal Representative:

RAO Dana (et al) (agent), Fenwick & West LLP, Two Palo Alto Square, Palo Alto, CA 94306, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200116852 A2 20010308 (WO 0116852)  
Application: WO 2000US40797 20000830 (PCT/WO US0040797)  
Priority Application: US 99151468 19990830

Designated States: AE AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK

EE ES FI GB GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT

LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA

UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-017/60

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 15055

English Abstract

A user interface and method are disclosed for providing trading between a plurality of semi-fungible and non-fungible goods. A plurality of book axes are displayed in a single interface, each book axis representing a market for a particular good. Orders for goods are displayed as marks on the axes to display the relative value of the orders. A value axis is provided that relates the value of the goods from each market to each other. Thus, a single interface provides the means to relate the values of different semi-fungible goods. The value axis may be displayed in units of price, or a custom value designated by a user or pre-defined by the interface. Quantity information is represented in the interface

through the display of a dimension of an order icon. Precise information about each order is displayed either in a panel view or a pop-up window.

**French Abstract**

L'invention concerne une interface utilisateur ainsi qu'un procede destines a assurer les echanges entre plusieurs marchandises semi-fongibles et non-fongibles. Plusieurs axes de livres sont affiches dans une seule interface, chacun representant un marche pour une marchandise particuliere. Les commandes de marchandises sont affichees comme marques sur les axes indiquant la valeur relative des commandes. Un axe de valeurs permet de rapporter la valeur des marchandises d'un marche a celles de chacun des autres marches. Ainsi, une seule interface permet de rapporter les valeurs de differentes marchandises semi-fongibles. L'axe de valeurs peut etre affiche en unites de prix, ou en une valeur de client designee par l'utilisateur ou predefinie par l'interface. Les informations en matiere de quantite sont representees dans l'interface par l'affichage d'une taille d'une icone d'ordre. Des informations precises sur chaque commande sont affichees soit en vue-ecran, soit sur une fenetre flash.

**Legal Status (Type, Date, Text)**

**Publication** 20010308 A2 Without international search report and to be republished upon receipt of that report.

**Examination** 20010809 Request for preliminary examination prior to end of 19th month from priority date

8/5/6 (Item 5 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00749567 \*\*Image available\*\*

**USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM**

**INTERFACE UTILISATEUR POUR SYSTEME DE TRANSACTIONS INFORMATISEES**

**Patent Applicant/Assignee:**

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**Legal Representative:**

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**Patent and Priority Information (Country, Number, Date):**

**Patent:** WO 200062187 A2-A3 20001019 (WO 0062187)

**Application:** WO 2000US9369 20000407 (PCT/WO US0009369)

**Priority Application:** US 99289550 19990409

**Designated States:** AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE  
ES FI GB GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU  
LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG  
UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

**Main International Patent Class:** G06F-017/60

**Publication Language:** English

**Filing Language:** English

**Fulltext Availability:**

Detailed Description

Claims

**Fulltext Word Count:** 13073

English Abstract

A user interface for an electronic trading exchange is provided which allows a remote trader to view in real time bid orders, offer orders, and trades for an item, and optionally one or more sources of contextual data. Individual traders place orders on remote client terminals, and this information is routed to a transaction server. The transaction server receives order information from the remote terminals, matches a bid for an item to an offer for an item responsive to the bid corresponding with the offer, and communicates outstanding bid and offer information, and additional information (such as trades and contextual data) back to the client terminals. Each client terminal displays all of the outstanding bids and offers for an item, allowing the trader to view trends in orders for an item. A priority view is provided in which orders are displayed as tokens at locations corresponding to the values of the orders. The size of the tokens reflects the quantity of the orders.

French Abstract

L'invention porte sur une interface utilisateur pour transactions informatisees, qui permet a un negociateur eloigne de visualiser en temps reel des ordres d'achat, des ordres de vente, des transactions portant sur un article et, eventuellement, une ou plusieurs sources de donnees contextuelles. Des negociateurs individuels placent des ordres au niveau de terminaux clients eloignes, et ces donnees sont acheminees vers un serveur de transactions. Le serveur de transactions recoit des terminaux eloignes les donnees de placement d'ordres, recherche pour une demande d'un article une offre d'un article correspondant et, en retour, communique aux terminaux clients les donnees de demandes et d'offres en circulation, ainsi que d'autres informations (telles que des donnees transactionnelles ou contextuelles). Chaque terminal client presente toutes les demandes et les offres en circulation concernant un article donne, ce qui permet au negociateur de visualiser les tendances et les ordres places pour cet article. Une vue-ecran prioritaire affiche les ordres sous forme de jetons a des emplacements correspondant aux valeurs des ordres. La taille des jetons correspond au volume des ordres. Une vue-ecran differente place des icones d'ordre a un emplacement symbolisant la valeur et le volume de l'ordre. En outre, des donnees contextuelles concernant l'article sont egalement affichees pour fournir au negociateur toutes les informations disponibles au moment de prendre des decisions transactionnelles. Une vue-ecran de groupe utilise egalement des icones qui symbolisent les negociateurs rattaches au groupe et les representent en fonction du niveau d'activite de chaque negociateur.

Legal Status (Type, Date, Text)

Publication 20001019 A2 Without international search report and to be republished upon receipt of that report.  
Examination 20001214 Request for preliminary examination prior to end of 19th month from priority date  
Search Rpt 20011206 Late publication of international search report  
Republication 20011206 A3 With international search report.

8/5/7 (Item 6 from file: 349)  
DIALOG(R) File 349:PCT FULLTEXT  
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00739253 \*\*Image available\*\*

A SYSTEM AND METHOD FOR CONDUCTING SECURITIES TRANSACTIONS OVER A COMPUTER NETWORK  
SYSTEME ET PROCEDE DE CONDUITE DE TRANSACTIONS DE VALEURS SUR UN RESEAU INFORMATIQUE

Patent Applicant/Assignee:

Search Report from Ginger D. Roberts

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Legal Representative:

MORRIS Francis E, Pennie & Edmonds LLP, 1155 Avenue of the Americas, New York, NY 10036, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200052619 A1 20000908 (WO 0052619)  
Application: WO 2000US5150 20000229 (PCT/WO US0005150)  
Priority Application: US 99122208 19990301; US 99292552 19990415; US 99292553 19990415

Designated States: AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW  
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE  
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW SD SL SZ TZ UG ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-017/60

International Patent Class: G06F-017/00

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 35999

English Abstract

The system and method of the preferred embodiment supports trading of securities over the Internet both on national exchanges and outside the national exchanges. In a preferred embodiment, users are subscribers to a securities trading service offered over the Internet. Preferably, each subscriber to this service is simultaneously connected from his own computer to a first system which provides user-to-user trading capabilities and to a second system which is a broker/dealer (42) system of his/her choice. The system providing the user-to-user trading services preferably includes a root server (50) and a hierarchical network of replicated servers supporting replicated databases. The user-to-user system provides real-time continuously updated stock information and facilitates user-to-user trades that have been approved by the broker/dealer systems with which it interacts.

French Abstract

Le systeme et procede du mode de realisation prefere de l'invention permet le commerce de valeurs sur l'Internet a la fois sur les marches locaux et etrangers. Dans ce mode de realisation, des utilisateurs sont abonnees a un service de transaction sur des valeurs, propose sur l'Internet. De preference, chaque abonne a ce service est connecte simultanement, a partir de son ordinateur, a un premier systeme offrant la possibilite de negocier entre utilisateurs et a un second systeme qui est un systeme de courtiers/operateurs (42) du choix de l'abonne. Le systeme offrant des services de transactions entre utilisateurs comprend, de preference, un serveur (50) a programmes residant en memoire et un reseau hierarchique de serveurs dupliques supportant des bases de donnees dupliques. Le systeme entre utilisateurs fournit des informations en temps reel sur le marche, mises a jour de facon continue, et facilite les echanges qui ont ete approuves par les systemes courtiers/operateurs avec lesquels il interagit.

Legal Status (Type, Date, Text)

Publication 20000908 A1 With international search report.

Examination 20001123 Request for preliminary examination prior to end of  
19th month from priority date

8/5/8 (Item 7 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00730864 \*\*Image available\*\*

**METHODS AND APPARATUS FOR BROKERING TRANSACTIONS**

**PROCEDE ET DISPOSITIF DE COURTAGE TRANSACTIONNEL**

Legal Representative:

VILLENEUVE Joseph M, Beyer & Weaver, LLP, P.O. Box 61059, Palo Alto, CA  
94306, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200043851 A2 20000727 (WO 0043851)

Application: WO 2000US1523 20000120 (PCT/WO US0001523)

Priority Application: US 99117118 19990125; US 99265511 19990309

Designated States: AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK

DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR

LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ

TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 24291

#### English Abstract

Methods and apparatus are described for facilitating a transaction between a buyer and one of a plurality of sellers via the Internet. Product information relating to a plurality of products meeting product criteria specified by the buyer is presented via the Internet. One of the plurality of sellers is associated with each of the products. A first bid from the buyer for a first one of the plurality of products is made available via the Internet to a first seller associated with the first product. A first bid response is presented via the Internet to the buyer according to response criteria specified by the first seller. Where the first bid response is an acceptance of the first bid, consummation of the transaction is facilitated. Where the first bid response is a counteroffer, further negotiation via the Internet between the buyer and the first seller is enabled.

#### French Abstract

La presente invention concerne un procede et un dispositif destine a faciliter les transactions entre un acheteur et un ou plusieurs vendeurs via l'Internet. De l'information sur les produits se rapportant a une pluralite de produits repondant a des criteres de produit specifie par le vendeur est presentee via l'Internet. L'un des vendeurs de la pluralite de vendeurs est associe a chacun des produits. Une premiere offre de l'acheteur pour un premier produit de la pluralite de produit est proposee via l'Internet a un premier vendeur associe au premier produit. Une premiere reponse a l'offre est presentee via l'Internet au vendeur en fonction de criteres de reponse specifies par le premier vendeur. Si la premiere reponse a l'offre est une acceptation de la premiere offre,

l'accomplissement de la transaction est favorise. Si la premiere reponse a l'offre est une surenchere, il est possible de poursuivre la negociation via l'Internet entre l'acheteur et le premier vendeur.

Legal Status (Type, Date, Text)

Publication 20000727 A2 Without international search report and to be republished upon receipt of that report.

Examination 20001012 Request for preliminary examination prior to end of 19th month from priority date

8/5/9 (Item 8 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00566643 \*\*Image available\*\*

CENTRALIZED SYSTEM AND METHOD FOR MANAGING ENTERPRISE OPERATIONS

SYSTEME CENTRALISE ET PROCEDE DE GESTION DU FONCTIONNEMENT D'ENTREPRISE

Patent and Priority Information (Country, Number, Date):

Patent: WO 200030000 A2 20000525 (WO 0030000)

Application: WO 99US26523 19991109 (PCT/WO US9926523)

Priority Application: US 98108261 19981112; US 98191467 19981112

Designated States: AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW GH GM KE LS MW SD SL SZ TZ UG ZW AM AZ BY KG KZ MD RU TJ TM AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

Main International Patent Class: G06F-017/60

Publication Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 38775

English Abstract

A projected management server coupled with a computer network, such as the Internet. In one embodiment a spec server is also incorporated into the project management environment for completing specs, generating requests for price quotations, purchase orders and the like. A project tree represents project management objects. Project management objects can be of any type. Object types are defined for each particular implementation of the system. Typical examples of project management object types include organizational entities, work-groups, people, projects, budgets, tasks, costs, timesheets, specs, requisitions, purchase orders, to-do lists etc. The objects are organized in a hierarchical data structure referred to as a project management tree or project tree. Each object in the project tree comprises a number of methods that describe the way the object behaves. Such methods include for example, methods that describe the way the object is added to the tree, edited, deleted from the tree, and archived. An infinite class of objects are supported so that systems can be customized for any type of environment. In a typical embodiment a key user sets-up the initial environment for the project management system including setting up the structure of the enterprise, defining users, specifying user-groups, user access rights, passwords, etc. Once the initial system is set-up, users log-in to the project management system from locations within or outside of the enterprises. The system determines the identity of the user, and based on the identity and user access rights, presents the user with a particular view of the project management tree customized for the user. The user can then navigate through sections of the project tree for which the user is authorized. Users can interact with the project management system by performing functions on that portion of the project tree in



which they are authorized to perform functions. Functions include adding, editing deleting and archiving project management objects. Users from multiple organizational work-groups participate using the project management system in a collaborative fashion. Specs are generated, suppliers are matched with specs, RFQs are sent to suppliers, suppliers bid on jobs, jobs are awarded by buyers and purchase orders are generated.

French Abstract

L'invention concerne un projet de gestionnaire couple a un reseau informatique, tel qu'Internet. Dans un mode de realisation, l'environnement de la gestion de projet comprend egalement un serveur spec pour completer des specifications, etablir des demandes de prix, effectuer des ordres d'achat, etc. Un projet d'arborescence represente des objets de gestion de projet, lesquels peuvent etre de toute sorte. Les types d'objets sont definis pour chaque implantation particuliere du systeme. Des entites organisationnelles, groupes de travail, individus, projets, budgets, taches, couts, feuilles de temps, specifications, requisitions, ordres d'achat, listes "a faire", etc., sont notamment des exemples caracteristiques de types d'objets de gestion de projet. Les objets sont organises en structure hierarchique de donnees, dite arborescence de gestion de projet ou arborescence de projet. Dans chaque arborescence de projet, chaque objet renferme plusieurs procedes qui decrivent le comportement dudit objet. Ces procedes comprennent, par exemple, des procedes qui decrivent comment ajouter l'objet a l'arborescence, le reviser et le supprimer de l'arborescence et l'archiver. Une classe infinie d'objets est documentee, ce qui permet de personnaliser les systemes, quel que soit le type d'environnement. Dans un mode de realisation type, l'utilisateur principal configure l'environnement initial du systeme de gestion de projet comprenant la mise en place de la structure de l'entreprise, la definition des utilisateurs, la specification des groupes d'utilisateurs, les droits d'acces des utilisateurs, les mots de passe, etc. Une fois le systeme initial configure, les utilisateurs se connectent au systeme de gestion de projet, qu'ils soient a l'interieur ou a l'exterieur de l'entreprise. Le systeme determine l'identite de l'utilisateur et, sur la base de son identite et de ses droits d'acces, lui presente une vue particuliere de l'arborescence de gestion de projet personnalisee qui lui est destinee. L'utilisateur peut alors naviguer a travers les sections de l'arborescence de projet auxquelles il a droit. Il peut interagir avec le systeme de gestion de projet en executant des fonctions sur la partie de l'arborescence de projet dans laquelle il est autorise a executer des fonctions, lesquelles sont notamment l'adjonction, la revision, la suppression et l'archivage d'objets de gestion de projet. Les utilisateurs de plusieurs groupes de travail organisationnels participent en utilisant, en collaboration, le systeme de gestion de projet. Des specifications sont creees, les fournisseurs sont compares aux dites specifications, des demandes de prix (Dprix) sont envoyees aux fournisseurs, des fournisseurs offrent des emplois, des emplois sont attribues par des acheteurs et des ordres d'achat sont crees.

8/5/10 (Item 9 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00557640 \*\*Image available\*\*

METHOD AND APPARATUS FOR AUCTIONS WITH AUTOMATIC MATCHING

PROCEDE ET APPAREIL DE VENTE AUX ENCHERES AVEC MISE EN CORRESPONDANCE  
AUTOMATIQUE

Patent and Priority Information (Country, Number, Date):

Patent: WO 200021013 A1 20000413 (WO 0021013)

Application: WO 99US23260 19991006 (PCT/WO US9923260)

Search Report from Ginger D. Roberts

Priority Application: US 98103276 19981006

Designated States: AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES  
FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU  
LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA  
UG UZ VN YU ZW GH GM KE LS MW SD SL SZ TZ UG ZW AM AZ BY KG KZ MD RU TJ  
TM AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE BF BJ CF CG CI  
CM GA GN GW ML MR NE SN TD TG

Main International Patent Class: G06F-017/60

Publication Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 25256

English Abstract

The present invention comprises an electronic trading system referred to as ETS (100). ETS allows traders to conduct commercial transactions with each other. ETS allows its traders to trade on an expandable and unlimited number of interconnected exchanges. Each trader enters his own orders on an exchange. ETS also allows its traders to create an expandable and unlimited number of accounts by which each trader organizes and controls the orders he has entered. The major types of orders a trader can enter are : bid, ask, correlated, negatively correlated and arbitrage. For each order a trader submits to ETS, the trader can select among the following four types of negotiation strategies: displayed, hidden, now-or-never and periodic. This four-tiered approach allows traders to pursue simultaneous automated negotiations.

French Abstract

La presente invention concerne un systeme de commerce electronique, ci-apres denomme ETS (100). Le systeme ETS permet aux negociateurs d'effectuer des transactions commerciales entre eux. Le systeme ETS permet a ces negociateurs de realiser des transactions sur un nombre illimite et croissant de bourses interconnectees. Chaque negociateur passe ses propres ordres sur une place boursiere. Le systeme ETS permet egalement aux negociateurs de creer un nombre illimite et croissant de comptes grace auxquels le negociateur organise et controle les ordres qu'il a passes. Generalement, un negociateur passe des ordres du type: offre d'achat, ordre de vente, correlation, anticorrelation et arbitrage. Pour chaque ordre soumis par un negociateur au systeme ETS, le negociateur peut faire son choix parmi les quatre types de strategies de negociation suivants: offre publique, offre secrete, offre du type now or never et offre periodique. Cette approche en quatre volets permet aux negociateurs de conduire des negociations automatisees de maniere simultanee.

8/5/11 (Item 10 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00494821 \*\*Image available\*\*

A CONFIGURABLE ELECTRONIC TRADING SYSTEM AND THE METHOD THEREFOR

SYSTEME DE COMMERCE ELECTRONIQUE CONFIGURABLE ET PROCEDE ASSOCIE

Patent and Priority Information (Country, Number, Date):

Patent: WO 9926173 A1 19990527

Application: WO 97CN128 19971117 (PCT/WO CN9700128)

Priority Application: WO 97CN128 19971117

Designated States: AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DE DK EE  
ES FI GB GE GH HU IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK  
MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG US UZ VN  
YU ZW GH KE LS MW SD SZ UG ZW AM AZ BY KG KZ MD RU TJ TM AT BE CH DE DK  
ES FI FR GB GR IE IT LU MC NL PT SE BF BJ CF CG CI CM GA GN ML MR NE SN

TD TG

Main International Patent Class: G06F-017/60

Publication Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 4584

#### English Abstract

A configurable electronic trading system and the method therefor are disclosed, said system is used by a plurality of users and comprises: a computer system, a database provided in said computer system; means for receiving data including product information, price factors, and a set of price factor options for each price factor specified input from an authorized user and storing said data in said database; means for retrieving said data including product information, price factors and price factor options from said database and processing said data according to a pre-determined mathematical relation to create multiple single offers in said database; and means for receiving another user's selection to the price factor options of the respective price factors and providing a corresponding offer from the multiple single offers in said database to said another user. This system and method allow a trader to enter offers more rapidly, and allow a customer user to change his selection on the terms and get changed offers with a new price from the vendor instantly, thereby are more efficient to the users.

#### French Abstract

L'invention concerne un systeme de commerce electronique et un procede associe, ledit systeme est exploite par une pluralite d'utilisateurs et comprend un reseau d'ordinateurs; une base de donnees equipant ledit reseau d'ordinateurs; un organe de reception de donnees comprenant des informations sur les produits, les facteurs determinant le prix et un ensemble d'options de facteurs de prix pour chaque entree specifiee de facteur de prix effectuee par un utilisateur autorise et permettant de memoriser lesdites donnees dans ladite base de donnees; un organe de recuperation desdites donnees comprenant des informations sur les produits, les facteurs de prix et les options de facteurs de prix dans la base de donnees et de traitement desdites donnees selon le rapport mathematique predetermine de maniere a creer de multiples offres uniques dans ladite base de donnees et un organe de reception d'une autre selection effectuee par l'utilisateur concernant les options de facteurs de prix des facteurs de prix respectifs et de transfert vers un autre utilisateur d'une offre correspondante a partir des multiples offres uniques repertoriees dans la base de donnees. Ce systeme et ce procede permettent a un commercant de proposer des offres plus rapidement et permettent a un utilisateur client de modifier sa selection et d'obtenir des offres modifiees avec un nouveau prix propose par le vendeur instantanement, ce qui est tres pratique pour les utilisateurs.

?

?t17/ti/all

17/TI/1 (Item 1 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

Electronic trading system including an auto-arbitrage feature or name  
switching feature  
Elektronisches Handelssystem mit automatischer Arbitrage oder mit Austausch  
von Namen  
Systeme de commerce electronique a fonction d'autoarbitrage ou a fonction  
de commutation de noms

17/TI/2 (Item 2 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

Auction method and apparatus for electronic commerce  
Auktionsverfahren und Anordnung fur elektronischen Handel  
Procede de vente aux encheres et appareil pour le commerce electronique

17/TI/3 (Item 3 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

MOBILE ELECTRONIC COMMERCE SYSTEM  
MOBILES ELEKTRONISCHES HANDELSSYSTEM  
SYSTEME DE COMMERCE ELECTRONIQUE MOBILE

17/TI/4 (Item 4 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

A METHOD OF HOLDING AN AUCTION AND USES OF THE METHOD  
VERFAHREN ZUM ABHALTEN EINER VERSTEIGERUNG UND ANWENDUNG DES VERFAHRENS  
PROCEDE DE VENTE AUX ENCHERES ET SES UTILISATIONS

17/TI/5 (Item 5 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

System and method for distributed content electronic commerce  
System und Verfahren fur den elektronischen Handelsverkehr mit verteiltem  
Inhalt  
Systeme et methode de commerce electronique a contenu reparti

17/TI/6 (Item 6 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

Automatic auction method  
Verfahren fur die automatische Auktion  
Methode de vente aux encheres automatique

17/TI/7 (Item 7 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

ELECTRONIC TRADING SYSTEM INCLUDING AN AUTO-ARBITRAGE FEATURE OR NAME  
SWITCHING FEATURE  
ELEKTRONISCHES HANDELSSYSTEM MIT AUTOMATISCHER ARBITRAGE ODER MIT AUSTAUSCH  
VON NAMEN  
SYSTEME DE COMMERCE ELECTRONIQUE A FONCTION D'AUTOARBITRAGE OU FONCTION DE  
COMMUTATION DE NOMS

17/TI/8 (Item 8 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

Auction information transmission processing system  
Verarbeitungssystem zum Übertragen von Auktionsinformation  
Systeme de traitement pour la transmission d'information concernant les  
ventes aux encheres

17/TI/9 (Item 9 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

CREDIT MANAGEMENT FOR ELECTRONIC BROKERAGE SYSTEM  
KREDITVERWALTUNG FÜR EIN ELEKTRONISCHES MAKLERGEBÜHRENSYSTEM.  
GESTION DE CREDITS POUR SYSTEME DE COURTAGE ELECTRONIQUE

17/TI/10 (Item 10 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

Information service system using unity code and method therefor  
Informationsdienstsystem und Informationsdiensverfahren mit Einheitskoden  
Systeme et procede de service d'information utilisant des codes d'unite

17/TI/11 (Item 11 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

Integrated trading  
Integrierter Handel  
Vente integree

17/TI/12 (Item 12 from file: 348)  
DIALOG(R)File 348:(c) 2001 European Patent Office. All rts. reserv.

Apparatus for market trading.  
Apparat für finanzielle Transaktionen.  
Appareil pour transactions financieres.

17/TI/13 (Item 1 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

SYSTEMS AND METHODS FOR CONDUCTING DERIVATIVE TRADES ELECTRONICALLY  
SYSTEMES ET PROCEDE PERMETTANT DE CONDUIRE ELECTRONIQUEMENT DES ECHANGES  
DERIVES

17/TI/14 (Item 2 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

METHOD AND SYSTEM FOR SEMI-FUNGIBLE COMMODITY ITEM TRANSACTIONS  
PROCEDE ET SYSTEME PERMETTANT DES TRANSACTIONS DE BIENS UTILITAIRES  
SEMI-FONGIBLES

17/TI/15 (Item 3 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

METHOD AND APPARATUS FOR BI-DIRECTIONALLY AUCTIONING BETWEEN BUYERS AND

**SELLERS USING COMPUTER NETWORK**

**PROCEDE ET DISPOSITIF PERMETTANT LA VENTE AUX ENCHERES BIDIRECTIONNELLE  
ENTRE DES ACHETEURS ET DES VENDEURS PAR RESEAU INFORMATIQUE**

17/TI/16 (Item 4 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

**APPARATUS, METHOD AND PROGRAM FOR A FIXED INCOME TRADING SYSTEM  
APPAREIL, PROCEDE ET PROGRAMME POUR SYSTEME DE NEGOCIATION DE VALEURS A  
REVENU FIXE**

17/TI/17 (Item 5 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

**COMPUTER CONTROLLED EVENT TICKET AUCTIONING SYSTEM  
SYSTEME DE VENTE AUX ENCHERES DE BILLETS ASSISTE PAR ORDINATEUR**

17/TI/18 (Item 6 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

**IMPROVED SYSTEM AND METHOD FOR INTERACTIVE PROCESSING AND DISPLAY OF  
INFORMATION  
SYSTEME ET PROCEDE AMELIORES DESTINES AU TRAITEMENT INTERACTIF ET A  
L'AFFICHAGE D'INFORMATIONS**

17/TI/19 (Item 7 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

**SOURCING SYSTEM AND METHOD  
SYSTEME ET PROCEDE DE SOURCAGE**

17/TI/20 (Item 8 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

**METHOD AND APPARATUS FOR VERIFYING THE IDENTITY OF A PARTICIPANT WITHIN AN  
ON-LINE AUCTION ENVIRONMENT  
PROCEDE ET APPAREIL PERMETTANT DE VERIFIER L'IDENTITE D'UN PARTICIPANT DANS  
UN ENVIRONNEMENT D'ENCHERES EN LIGNE**

17/TI/21 (Item 9 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

**SCHEDULING AND PLANNING BEFORE AND PROACTIVE MANAGEMENT DURING MAINTENANCE  
AND SERVICE IN A NETWORK-BASED SUPPLY CHAIN ENVIRONMENT  
PROGRAMMATION ET PLANIFICATION ANTICIPEE, ET GESTION PROACTIVE AU COURS DE  
LA MAINTENANCE ET DE L'ENTRETIEN D'UN ENVIRONNEMENT DU TYPE CHAINE  
D'APPROVISIONNEMENT RESEAUTEE**

17/TI/22 (Item 10 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

**A METHOD AND SYSTEM FOR ANALYZING AND COMPARING FINANCIAL INVESTMENTS  
METHODE ET SYSTEME D'ANALYSE ET DE COMPARAISON D'INVESTISSEMENTS FINANCIERS**

17/TI/23 (Item 11 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

SYSTEM AND METHOD FOR PURCHASE AND SALE OF TRANSPORTATION ASSETS VIA A  
GLOBAL COMPUTER NETWORK  
SYSTEME ET TECHNIQUE D'ACHAT ET DE VENTE DE BIENS ET DE SERVICE VIA UN  
RESEAU INFORMATIQUE MONDIAL

17/TI/24 (Item 12 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

ELECTRONIC TRADING SYSTEM FOR ELECTRICITY FORWARDS  
SYSTEME DE TRANSACTIONS INFORMATISEES PERMETTANT LA CONCLUSION DE CONTRATS  
A TERME EN MATIERE D'ELECTRICITE

17/TI/25 (Item 13 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

ELECTRONIC BARTERING SYSTEM  
SYSTEME D'ECHANGE ELECTRONIQUE

17/TI/26 (Item 14 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

AUTOMATED SYSTEM FOR CONDITIONAL ORDER TRANSACTIONS IN SECURITIES OR OTHER  
ITEMS IN COMMERCE  
SYSTEME AUTOMATIQUE DE NEGOCIATION CONDITIONNELLE DE VALEURS MOBILIERES OU  
D'AUTRES EFFETS DE COMMERCE

17/TI/27 (Item 15 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

USER INTERFACE TO FACILITATE, ANALYZE AND MANAGE RESOURCE CONSUMPTION  
INTERFACE UTILISATEUR PERMETTANT DE FACILITER, D'ANALYSER ET DE GERER LA  
CONSOMMATION DE RESSOURCES

17/TI/28 (Item 16 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

ENABLING VIEWERS OF TELEVISION SYSTEMS TO PARTICIPATE IN AUCTIONS  
DISPOSITIF PERMETTANT AUX TELESPECTATEURS DE PARTICIPER A DES VENTES AUX  
ENCHERES

17/TI/29 (Item 17 from file: 349)

DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

METHOD AND SYSTEM FOR SUBMITTING BIDS  
PROCEDE ET SYSTEME DE PRESENTATION DE SOUMISSIONS

17/TI/30 (Item 18 from file: 349)

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METHOD AND SYSTEM FOR SEEKING BIDS  
PROCEDES ET SYSTEMES DE RECHERCHE D'OFFRES

17/TI/31 (Item 19 from file: 349)

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File 108:AEROSPACE DATABASE 1962-2001/NOV  
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 File 434:SciSearch(R) Cited Ref Sci 1974-1989/Dec  
 (c) 1998 Inst for Sci Info  
 File 34:SciSearch(R) Cited Ref Sci 1990-2001/Dec W2  
 (c) 2001 Inst for Sci Info  
 File 62:SPIN(R) 1975-2001/Nov W4  
 (c) 2001 American Institute of Physics  
 File 99:Wilson Appl. Sci & Tech Abs 1983-2001/Sep  
 (c) 2001 The HW Wilson Co.

Set	Items	Description
S1	340364	AUCTION? OR BIDDING? OR TRADING OR MATCHING OR BUY(5N) SELL
S2	7537604	DISPLAY? OR INTERFACE? OR UI OR GUI OR SCREEN OR SHOW OR S-HOWS OR SHOWING OR VISUALI? OR VIEW? OR GRAPH?
S3	5444	(ALL OR EVERY OR EACH OR COMPLETE OR ENTIRE OR TOTAL OR WHOLE OR AGGREGAT? OR GROSS OR TOTALITY) (3W) (BID OR BIDS OR OFFER OR OFFERS)
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S5	675904	ICON OR ICONS OR ICONIC OR PICTORIAL? OR SIGN OR SYMBOL? OR BAR OR BARS OR SLIDE() RULE? ? OR CANDLE?
S6	206	S2 (6N) S3
S7	101	S2 (6N) S4
S8	194	S1 (6N) S2 (6N) S5
S9	0	S3 (20N) S8
S10	0	S4 (20N) S8
S11	0	S9 OR S10



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File 88:Gale Group Business A.R.T.S. 1976-2001/Dec 11  
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File 647:CMP Computer Fulltext 1988-2001/Dec W2  
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 (c) 2001 American Mathematical Society

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Set	Items	Description
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S1 2372362 AUCTION? OR BIDDING? OR TRADING OR MATCHING OR BUY(5N)SELL  
S2 11377552 DISPLAY? OR INTERFACE? OR UI OR GUI OR SCREEN OR SHOW OR S-  
HOWS OR SHOWING OR VISUALI? OR VIEW? OR GRAPH?  
S3 160903 (ALL OR EVERY OR EACH OR COMPLETE OR ENTIRE OR TOTAL OR WH-  
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RS OR SPECULATORS)  
S5 3283928 ICON OR ICONS OR ICONIC OR PICTORIAL? OR SIGN OR SYMBOL? OR  
BAR OR BARS OR SLIDE()RULE? ? OR CANDLE?  
S6 5431 S2(6N)S3  
S7 3764 S2(6N)S4  
S8 1322 S1(6N)S2(6N)S5  
S9 2 S3(20N)S8  
S10 2 S4(20N)S8  
S11 4 S9 OR S10  
S12 7 S1(20N)S6(20N)S7  
S13 11 S9:S12  
S14 7 RD (unique items)  
S15 70 (S1 OR BIDS(5N)ASKS) (20N)S3(20N)S4  
S16 67 S15 NOT S14  
S17 47 RD (unique items)  
?

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File 625:American Banker Publications 1981-2001/Dec 11

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File 268:Banking Info Source 1981-2001/Dec W1

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File 626:Bond Buyer Full Text 1981-2001/Dec 10

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File 267:Finance & Banking Newsletters 2001/Dec 10

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Set	Items	Description
S1	93358	AUCTION? OR BIDDING? OR TRADING OR MATCHING OR BUY(5N)SELL
S2	128820	DISPLAY? OR INTERFACE? OR UI OR GUI OR SCREEN OR SHOW OR S-HOWS OR SHOWING OR VISUALI? OR VIEW? OR GRAPH?
S3	4079	(ALL OR EVERY OR EACH OR COMPLETE OR ENTIRE OR TOTAL OR WHOLE OR AGGREGAT? OR GROSS OR TOTALITY) (3W) (BID OR BIDS OR OFFER OR OFFERS)
S4	2732	(ALL OR EVERY OR EACH OR COMPLETE OR ENTIRE OR TOTAL OR WHOLE OR AGGREGAT? OR GROSS OR TOTALITY) (3W) (TRADERS OR MERCHANTS OR DEALERS OR PLAYERS OR MERCHANDISERS OR VENDORS OR VENDERS OR SPECULATORS)
S5	35197	ICON OR ICONS OR ICONIC OR PICTORIAL? OR SIGN OR SYMBOL? OR BAR OR BARS OR SLIDE()RULE? ? OR CANDLE?
S6	42	S2(6N)S3
S7	39	S2(6N)S4
S8	19	S1(6N)S2(6N)S5
S9	0	S3(20N)S8
S10	0	S4(20N)S8
S11	0	S9 OR S10
S12	0	S1(20N)S6(20N)S7
S13	0	S9:S12
S14	0	RD (unique items)
S15	2	(S1 OR BIDS(5N)ASKS) (20N)S3(20N)S4
S16	2	S15 NOT S14
S17	2	RD (unique items)
S18	2805	S1 AND S2 AND S5
S19	0	S1 AND S6 AND S7
S20	32	(S1 OR BIDS(5N)ASKS) AND S3 AND S4
S21	32	S15:S17 OR S20
S22	32	RD (unique items)

?t22/3,k/all

22/3,K/1 (Item 1 from file: 625)

DIALOG(R)File 625:American Banker Publications

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0218479

**State Street to Launch Automated Bond Trading System**

American Banker - June 1, 1998; Pg. 23; Vol. 163, No. 102

DOCUMENT TYPE: Journal LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 497

BYLINE:

By CAROL POWER

**State Street to Launch Automated Bond Trading System**

TEXT:

...Bridge Information

Systems and Net Exchange, a software company, is designed to automate fixed-income trading in the U.S. Treasury, corporate, mortgage-backed, and asset-backed markets.

?show files;ds

File 75:TGG Management Contents(R) 86-2001/Dec W1

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File 148:Gale Group Trade & Industry DB 1976-2001/Dec 10

(c)2001 The Gale Group

File 624:McGraw-Hill Publications 1985-2001/Dec 10

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File 757:Mirror Publications/Independent Newspapers 2000-2001/Dec 11

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S1 6 (DISPLAY OR SHOW? OR VIEW? OR VISUALI?) (3N) (ALL OR EVERY OR EACH) (2W)TRADERS (20N) (RIDS OR AUCTION?)

S2 4 RD (unique items)

?t2/3,k/all

2/3,K/1 (Item 1 from file: 75)

DIALOG(R)File 75:TGG Management Contents(R)

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00190993 SUPPLIER NUMBER: 18441721

Transparency and liquidity: a comparison of auction and dealer markets with informed trading. (includes appendix)

Pagano, Marco; Roell, Ailsa

Journal of Finance, v51, n2, p579(33)

June, 1996

ISSN: 0022-1082 LANGUAGE: English RECORD TYPE: Fulltext; Abstract

WORD COUNT: 12746 LINE COUNT: 01019

... of Theorem 1 remains in force when the informed trader's strategy is endogenous: transparent auction markets are more liquid than dealer markets. To show this, we first establish

LEMMA 1: Optimal Strategy of Informed Trader in Dealer Market. If all noise traders place orders of the same size, then under the assumptions of Theorem 1, the equilibrium...

2/3,K/2 (Item 2 from file: 75)

DIALOG(R)File 75:TGG Management Contents(R)

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00154125 SUPPLIER NUMBER: 12538018 (USE FORMAT 7 FOR FULL TEXT)

Trading mechanisms in securities markets. (includes appendix)

Madhavan, Ananth

Journal of Finance, v47, n2, p607(35)

June, 1992

ISSN: 0022-1082 LANGUAGE: English RECORD TYPE: Fulltext; Abstract

WORD COUNT: 14451 LINE COUNT: 01234

... converge to the strong form efficient price, i.e.,  $\lim$  [Mathematical Expression Omitted]

Proposition 7 shows that a large enough auction can provide more efficient prices than a continuous market. In a periodic system, all traders observe a noisy estimate of their aggregate information, in addition to public and private information signals. The more traders participating in the auction, the more efficient the price is as signal of asset value. Further, the system can...

2/3,K/3 (Item 1 from file: 624)

DIALOG(R)File 624:McGraw-Hill Publications

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Search Report from Ginger D. Roberts

=====  
\*  
\* Cover Sheet  
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\*\*\* Your Memo \*\*\*

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\*  
\* Prepared for: Examiner Charles Kyle  
\*  
\* By : Ginger D. Roberts  
\*  
\* Date : December 11, 2001  
\*  
-----

Please find attached the results of your search for 09/289550. The search was conducted using the standard collection of databases on Dialog for EIC 2100.

The following other electronic products were searched:

If you have any questions, please do not hesitate to contact me.

Thank you.

Ginger Roberts  
703-308-7795

*Reviewed  
for relevance  
to 289550  
12/13/01*

S12 0 S1(20N)S6(20N)S7  
 S13 0 S9:S12  
 S14 0 RD (unique items)  
 S15 2 (S1 OR BIDS(5N)ASKS) (20N)S3(20N)S4  
 S16 2 S15 NOT S14  
 S17 2 RD (unique items)  
 S18 2372 S1 AND S2 AND S5  
 S19 0 S1 AND S6 AND S7  
 S20 3 (S1 OR BIDS(5N)ASKS) AND S3 AND S4  
 S21 3 S15:S17 OR S20  
 S22 3 RD (unique items)  
 ?t22/7/all

22/7/1 (Item 1 from file: 35)  
 DIALOG(R)File 35:Dissertation Abs Online  
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01705233 ORDER NO: AAD99-30793  
**MARKET MECHANISMS FOR NETWORK RESOURCE SHARING (DISTRIBUTED MARKET, PROGRESSIVE SECOND PRICE, AUCTION )**  
 Author: SEMRET, NEMO  
 Degree: PH.D.  
 Year: 1999  
 Corporate Source/Institution: COLUMBIA UNIVERSITY (0054)  
 Sponsor: A. A. LAZAR  
 Source: VOLUME 60/05-B OF DISSERTATION ABSTRACTS INTERNATIONAL.  
 PAGE 2276. 144 PAGES

The theme of this thesis is the design and analysis of decentralized and distributed market mechanisms for resource sharing in multiservice networks. The motivation for a market-based approach is twofold. First, in modern multiservice networks, resources such as bandwidth and buffer space have different value to different users, and these valuations cannot, in general, be accurately known in advance as users compete against each other for the resources. Second, the network resources themselves are distributed, and often, not subject to any single authority.

We present the Progressive Second Price **auction** (PSP), a new decentralized mechanism for allocating variable-size shares of a resource among multiple users. Under elastic demand, the PSP **auction** is incentive compatible and stable, in that it has a "truthful"  $\epsilon$ -Nash equilibrium where **all players bid** at prices equal to their marginal valuation of the resource. PSP is efficient in that the equilibrium allocation maximizes total user value. In a dynamic setting, we derive a bound on the time to converge to equilibrium, when users are using an optimal normal form strategy. We then extend the PSP **auction** to be applied by independent resource sellers on each element of a network with arbitrary topology, with players having arbitrary but fixed routing/provisioning constraints. We derive an optimal truthful strategy for coordinated **bidding** for a player participating in **auctions** on multiple resource elements, and show that the equilibrium and efficiency results still hold. We also show how our networked **auction** model can apply to virtual networks, virtual paths, edge capacity allocation networks.

We then turn our attention to the problem of reservations and admission control for connection oriented network services. We propose a new approach to pricing of capacity in service systems with blocking, using spot and derivative market mechanisms. A second-price **auction** among arrivals grouped in batches gives rise to the *spot market* of usage charges. A reservation guaranteeing access for an arbitrary duration with a usage price below the bid can be made at any time before or during service, thus eliminating the risk inherent to the spot market of being dropped before service completion. We define the reservation as a *hold option*, which is analogous to

derivative financial instruments (e.g. options, futures) integrated over time. Based on a heavy-traffic diffusion model for the corresponding two-stage queueing system, we compute the reservation fee as the fair market price of a hold option. We validate this approach with simulations driven by a real traffic trace at a dial-up Internet access modem-pool.

Finally, we present a decentralized, distributed, flexible software architecture implementing the above pricing systems.

22/7/2 (Item 2 from file: 35)  
DIALOG(R)File 35:Dissertation Abs Online  
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831004 ORDER NO: AAD83-28705

**SOME NONCOOPERATIVE GAME MODELS OF EXCHANGE**

Author: HOUSMAN, DAVID LEO

Degree: PH.D.

Year: 1983

Corporate Source/Institution: CORNELL UNIVERSITY (0058)

Source: VOLUME 44/09-B OF DISSERTATION ABSTRACTS INTERNATIONAL.

PAGE 2776. 118 PAGES

Noncooperative games provide a natural approach to modeling the institutional character of exchange. Three types of exchange are considered.

Simultaneous first price sealed bid **auctions** of several identical objects in which bidders have a capacity or exposure constraint are proposed as possible strategic explanations for the large variance in offshore oil lease bids. Even when the second object won is worth nothing to a bidder in the capacity constraint model, **bidding** on two objects in a "high-low" manner when object values are known is better than being restricted to **bidding** on only one object. A mixed proportional strategy Nash equilibrium (NE) still exists in certain cases when object values are no longer certain and players receive independent estimates of the value. When players have known identical exposure constraints and attempt to maximize the number of objects won, the NE are highly dependent on the relative number of objects ( $m$ ) to bidders ( $n$ ). If  $n(1-1/m)^{(n-1)} < 1$ , then the unique symmetric NE is for **each** player to **bid** everything on one randomly chosen object. If  $m$  (GREATER)  $n$ , then players employ a mixed strategy which results in a positive bid on every object.

An economy with one nondurable good and a fiat money is modeled as a noncooperative sequential game. Players form an atomless continuum and exchange is assumed to be completely monetized. When no credit is available, players having a sufficiently small ratio of money to commodity endowment spend all of their money in **each** period. The other **players** will withhold a decreasing amount of money each period until they also spend everything. When an open market for credit is added to the model, a NE exists in which the credit market is active in each period and the interest rate, commodity prices, and each player's consumption are constant across time.

Consumers are allowed to misrepresent their endowments or preferences in an Arrow-Debreu exchange economy. In the endowment misrepresentation games, the NE allocations converge to the competitive equilibrium (CE) allocation when the economy is type replicated. If the true endowments are not Pareto optimal, then the set of NE allocations does not shrink to the set of CE allocations in the preference misrepresentation games.

22/7/3 (Item 1 from file: 111)  
DIALOG(R)File 111:TGG Natl.Newspaper Index(SM)  
(c) 2001 The Gale Group. All rts. reserv.

Search Report from Ginger D. Roberts

03382004 Supplier Number: 11453629

Treasury sets bidding rules aimed at cleaning up troubled auctions .

(Treasury Department to allow all broker dealers to bid on behalf  
of customers)

Thomas, Paulette; Herman, Tom

Wall Street Journal , Mon ed, col 3, pC1(W) pC1(E)

Oct 28, 1991

?



?t14/3,k/all

>>>KWIC option is not available in file(s): 278

14/3,K/1 (Item 1 from file: 88)  
DIALOG(R)File 88:Gale Group Business A.R.T.S.  
(c) 2001 The Gale Group. All rts. reserv.

01603174 SUPPLIER NUMBER: 03305815  
**Kings and queens. (evaluation)**  
Wiswell, Phil  
PC Magazine, v3, p325(4)  
June 12, 1984  
DOCUMENT TYPE: evaluation LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 1076 LINE COUNT: 00098

... of play in a logical order. On screen, one sees only the South hand during **bidding**, but **all** three computerized **players** ' **bids** are displayed in standard bridge notation. The program responds to each of your plays with a message...

14/3,K/2 (Item 1 from file: 610)  
DIALOG(R)File 610:Business Wire  
(c) 2001 Business Wire. All rts. reserv.

00472689 20010301060B1527 (USE FORMAT 7 FOR FULLTEXT)  
**Way2Bid Exchange Offers Electronic Sealed, Open or Blind Bidding to Public Purchasers; Members Can Use a Variety of Bidding Scenarios to Fit Their Needs**  
Business Wire  
Thursday, March 1, 2001 13:05 EST  
JOURNAL CODE: BW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
DOCUMENT TYPE: NEWSWIRE  
WORD COUNT: 442

...time-honored process ensures that all information remains private, ensuring fair and equal opportunity to **all vendors**. Blind **bids** prevent vendors from **viewing** bids submitted by other vendors and from knowing which vendors are participating in a bid...

...who creates the blind bid is able to view the incoming bids and monitor the **bidding** process. Open bids allow all participants, whether buyer or vendors, to view the identities of...

14/3,K/3 (Item 1 from file: 275)  
DIALOG(R)File 275:Gale Group Computer DB(TM)  
(c) 2001 The Gale Group. All rts. reserv.

01245622 SUPPLIER NUMBER: 06728245 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Mouse shows boldness of market automation system. (the Transvik market automation system from Transvik Inc.)**  
Kulkosky, Victor  
Wall Street Computer Review, v5, n8, p12(4)  
May, 1988  
ISSN: 0738-4343 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT  
WORD COUNT: 3021 LINE COUNT: 00225

... number of "depth windows," on the Transvik System, each of which gives an in-depth **view** on the **trading** in a single security. Each window **shows** the security **symbol** and market **symbol**, and below that last sale and size of last sale, change and cumulative volume. A running list of

Search Report from Ginger D. Roberts

each bid and ask, with corresponding size is visible in the rest of the window.

To make...

14/3,K/4 (Item 1 from file: 47)  
DIALOG(R)File 47:Gale Group Magazine DB(TM)  
(c) 2001 The Gale group. All rts. reserv.

04331549 SUPPLIER NUMBER: 17338981 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
The 1995 to 1996 black tie calendar of Twin Cities fundraisers. (benefits  
in Minneapolis-St. Paul, MN area) (Special Advertising  
Section) (Illustration)  
Spellacy, Amy; Rasmusson, Erika  
MPLS-St. Paul Magazine, v23, n9, p137(7)  
Sep, 1995  
DOCUMENT TYPE: Illustration ISSN: 0162-6655 LANGUAGE: English  
RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 6692 LINE COUNT: 00535

... Association.

Kirby Puckett 8-Ball Invitational, 928-4860. Shoot pool with Kirby Puckett and other all -star baseball players in a round-robin tournament; attend a sports banquet with silent and live auction items, Roy Firestone Show and music by the R Factor, Original Sports Bar and Gatlin Brothers, Mall of America, Bloomington. 1 pm tournament, \$750 per pool-playing position...

14/3,K/5 (Item 1 from file: 636)  
DIALOG(R)File 636:Gale Group Newsletter DB(TM)  
(c) 2001 The Gale Group. All rts. reserv.

04850528 Supplier Number: 67384790 (USE FORMAT 7 FOR FULLTEXT)  
New B2B applications spell increased benefits to retailers and vendors.  
M2 Presswire, pNA  
Nov 28, 2000  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 690

... data that transitions a 'necessary' B2B solution into a 'successful' solution."

Further features include:

Reverse Auctioning

\* Vendors are able to view a summary of all bids from other vendors .

These are presented anonymously and allow for counter bids.

\* Retailers can reject part of the...

14/3,K/6 (Item 1 from file: 696)  
DIALOG(R)File 696:DIALOG Telecom. Newsletters  
(c) 2001 The Dialog Corp. All rts. reserv.

00721518  
Bidding Explodes In U.K. '3G' Auction  
TR International  
April 14, 2000 VOL: 11 ISSUE: 7 DOCUMENT TYPE: NEWSLETTER  
PUBLISHER: BRP PUBLICATIONS  
LANGUAGE: ENGLISH WORD COUNT: 278 RECORD TYPE: FULLTEXT

(c) BRP PUBLICATIONS All Rts. Reserv.

Search Report from Ginger D. Roberts

TEXT:

Bidding has exploded in the United Kingdom's auction of third-generation wireless radio spectrum. Total bids topped 17 billion pounds sterling (\$27 billion) for five licenses at TRI's news deadline. And the bidding war shows no sign of letting up...

14/3,K/7 (Item 1 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2001 The Gale Group. All rts. reserv.

08902457 SUPPLIER NUMBER: 18598389  
The Candlestick Forecaster. (pattern recognition system) (1996 Guide to  
Computerized Trading) (Evaluation)  
Futures (Cedar Falls, Iowa), v25, n8, p94(1)  
July, 1996  
DOCUMENT TYPE: Evaluation ISSN: 0746-2468 LANGUAGE: English  
RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 415 LINE COUNT: 00038

... 25 different sources. The third model is our real-time, complex pattern edition, giving you buy / sell signals as well as showing confirmation, continuation and combination candlestick patterns, making it a must for all intraday traders.

Candlesticks are excellent for identifying entry and exit positions and can teach you in a...  
?

?t14/7/3

14/7/3 (Item 1 from file: 275)  
DIALOG(R) File 275:Gale Group Computer DB(TM)  
(c) 2001 The Gale Group. All rts. reserv.

01245622 SUPPLIER NUMBER: 06728245 (THIS IS THE FULL TEXT)  
**Mouse shows boldness of market automation system. (the Transvik market automation system from Transvik Inc.)**  
Kulkosky, Victor  
Wall Street Computer Review, v5, n8, p12(4)  
May, 1988

TEXT:

MOUSE SHOWS BOLDNESS OF MARKET AUTOMATION SYSTEM

IF THE EVENTS AROUND Black Monday showed anything in particular, it's that the securities markets need to become more thoroughly automated. But how to automate an entire market or exchange? For a new market or one just about to automate, the answer may be easier than for a large established market with investments in existing systems and the drag created by competing interest groups.

One answer to the question (See Editor's Report, December 1987), may be offered by Transvik Inc., a New York subsidiary of Invik & Co. AB, a Swedish merchant banking firm. The Transvik System is a market automation system which runs on the complete line of Digital Equipment Corp.'s VAX minicomputers, from the MicroVAX II to the largest VAX 8978. Unlike dealing room systems, which help connect traders to the markets they trade in, the Transvik System is designed to be the market itself, processing the trades and distributing data to the players. Individual traders interact with the market through DEC VAXstation 2000 workstations, equipped with a three-button mouse and--believe it or not--no keyboard at all.

"A lot of people are afraid of computers, and we found that it's particularly the keyboard and keying in things and making mistakes and remembering what to key in when, so we did away with the keyboard and it's all run with a mouse," explains Bjorn A.M. Wissen, chairman and chief executive officer of Transvik.

Users enter data or view information entirely through windows, which include several tickers, a trading window which looks like the familiar paper trading ticket, and others to be detailed. Any choice the user makes, whether executing a command or entering a number, is done by pointing to the desired choice in the appropriate window and clicking a mouse key.

The Transvik system provides a scrolling horizontal ticker much like any quote terminal, showing security symbol, last sale, change from yesterday's closing, high, low and volume. Right below this is a personal ticker displaying securities selected by the user. Also available is a European-style "waterfall" ticker where the last trade appears on the bottom line and pushes the previous trades up.

The Transvik System currently supports a maximum of 10,000 securities on the main machine while downloading up to 512 securities to each workstation. A key selling point for Transvik is that the system can be configured for several different markets, with each user individually authorized to access only one or some combination of markets.

"On the technical side, several markets might share the same building; they could conceivably share a data processing facility where each of their users is privileged on only one market, but there's only one computer facility," suggests David R. Rosensaft, president and chief operating officer at Transvik.

In-depth Coverage

A user can display a number of "depth windows," on the Transvik System, each of which gives an in-depth view on the trading in a single security. Each window shows the security symbol and market symbol, and below that last sale and size of last sale, change and cumulative volume. A running list of each bid and ask, with corresponding size is

visible in the rest of the window.

To make a trade, the user points to a security's window and clicks one of the mouse's three keys. This brings up the trading window, the center of activity on the Transvik System. At the top is again, security and market symbol, with last sale price, size and change, bid and offer and volume.

Below, the user selects buy or sell, then the cursor jumps to trade size, which comes in increments of one, five, 10, 100, 1,000, 10,000, 100,000 and 500,000 shares, or whatever the unit of trade may be.

Right below the trade size, the user has a number of options for determining the price. He may choose to buy or sell at the current market price, or he may set a limit order, or choose the market maker option.

"The limit price allows you a couple of things," explains Wissen. The user may set a limit price slightly above the book price, for instance.

"The book price is the price that goes into the book [which would be written in an actual book in traditional markets] that's visible to the market; the limit price is what you're willing to pay.

"It's just like with a broker and a floor broker: 'I want to do this at 120.5 but if you have to you can go up 122.' So the 122 is not visible [to other market players]," says Wissen. "You can't get a limit price below the book price, because what's in there is always the truth," he adds.

The Transvik system then searches for a matching order and either finds one, and executes the trade, or the order remains in the book till a matching order is found or the user cancels it.

"One advantage of using the mouse and this push-button system is that you cannot submit an order that is not correct from the computer standpoint," Wissen points out, since only correct choices are available and there's nothing to type wrong. It is possible to enter an order for a thousand shares when the user meant to enter a hundred, Wissen admits, but this is possible with any system.

#### Making Better Markets

The Transvik market maker function permits the user to have live orders always in the market, if regulations require that particular user to do so. On The Transvik System, a user can peg an order to bid, offer, or last sale, but in some fixed relationship above or below that price. Thus a user who wants to always beat the best bid can automatically have his own bid, say, a quarter point above any other bid.

Rosensaft compares this feature to Quotron's automatic quote feature, provided for market makers who are required to keep a constant quote available to the market. Transvik's market maker feature is similar, says Rosensaft, but it actually manages orders, whereas the Quotron feature is merely an information distributor.

"So this is a very powerful market making tool that allows you to set up the system and not sit there and watch it all the time--you let the computer do the work. The user doesn't have to sit there with his eyes glued to the tube at every moment, worried that something can happen that he didn't plan for," says Rosensaft.

Below the trade pricing feature is the trade duration feature, allowing the user to select immediate execution, or a day order, or good-till-canceled, or till the end of the week. He may also choose any combination of minutes, hours, and days.

The last section of the vertically-oriented trade window offers special options, including minimum trade size, where the user determines whether he will accept an order filled in several trades, and if so, in what increment.

Also in the special options section of the trading window is a meter function, where the user determines what percentage of an order is shown to the market. For instance, if an order is for 100,000 shares, setting the meter at 1 percent will show the market only 1,000 shares at a time.

"If I submit an order for 100,000 shares I'm going to scare all the sellers away and I'll have to pay up," says Wissen. "So, today I tell my floor broker: 'I'm in there for size but be careful.' If we didn't have this function, I'd have to submit an order for a thousand shares, have that

filled, then another order for a thousand shares, and have that filled, so we automated the function," Wissen points out.

#### Following Orders

"If you combine the use of the meter and limit prices you see that you can accomplish any set of instructions that you would give a broker for working an order and know that the instructions will be carried properly--that the guy will never be too busy to do it and never be too inexperienced to get it done, or any one of a variety of events that would prevent this order from being executed the way you would want it to be--the system takes care of it," states Rosensaft.

The last option in the trading window is a box for setting triggered order conditions. Clicking on this box brings up another window, which gives the user the options for setting an order triggered to bid, offer, or last sale and at what price, along with how long the order is in place, a feature useful for stop/loss orders, Wissen suggests. With this feature, the order is dormant until the specified market conditions are met.

Among information displays, the Transvik System also provides an order log which displays all orders entered into the system, the type of order for each, the price, the volume, and the status of the order.

Rosensaft points out how quickly a trade is processed in the Transvik System; even a user unfamiliar with mouse takes only a few seconds to enter a buy for 100 shares of stock X at market. The order matches almost instantly, and the executed trade appears in the order log in roughly a second.

The position window shows each user his trades for the day, with amount and weighted average price for buys and sells, as well as net position, or the difference between the buys and sells for the same instrument.

The workstation control panel is the maintenance window for the Transvik System. Here users select which windows are active, what goes into the tickers and displays, and where each window is placed. Here the user can also set up alerts to inform him the instant a given event happens such as unusual activity in a particular security or certain kind of news item; this feature is also a good surveillance tool for exchange officials.

These alerts can carry three levels of priority, Wissen points out. The first level merely displays highlights of the alert on the status line at the bottom of the screen; the second level pops up a window which describes the situation and then disappears; the highest level beeps, and displays a window which will not go away until the user takes action. Many alerts may be set simultaneously.

#### Complete Control

The control panel is also where the user adds and deletes the securities he wishes to follow. He can call up a master list of the securities he's authorized to trade and move near the one he wants by selecting the letter it starts with. He can then place it in whatever window he chooses.

"With this regime we eliminate any input errors," Rosensaft points out. "You can't type a symbol wrong because you never type it at all. We rigorously control what the user does, he only has access to the securities he's entitled to; this is maintained centrally and distributed to a workstation."

At present, Transvik is actively marketing its system and is in the planning stage of its first installation, notes Rosensaft. Negotiations with several other interested parties are "moving forward," though he declines to divulge details for the time being.

One of Transvik's major selling points is flexibility, Rosensaft asserts. The firm offers a core, off-the-shelf system which they will then tailor to specific needs of the market.

The windows could have different formats, or the control panel could have more or fewer functions, he suggests, and the system could accept whatever denominations are required by the marketplace, whether in fractions, decimal points, or both.

The Transvik System's architecture is founded on distributed

processing, that is, giving each computer the tasks it's best suited to; it's a tenet of DEC's own market strategy. The workstations handle the functions described above, and are also designed to support analytics, which Transvik plans to add in the future, either from itself or from third parties, post-trade processing and decision support.

In the back end, running on the complete VAX line, are such functions as trade matching and execution, user entitlements, confirms, databases, and interfaces for links to other quote vendors, markets or clearing organizations.

"This is where our architecture really shines," asserts Rosensaft. "We've built a cooperative multiprocessing regime--the processing is distributed asynchronously and asymmetrically across the network, so we can tailor the amount of hardware very tightly to the needs of the market."

#### Getting Started

He offers the example of a fledgling marketplace starting with only a hundred or so securities. This market could run very comfortably on a MicroVAX II, Rosensaft says. As the market grows and perhaps five out of the 100 securities turn into good performers, those five could be moved from the first system onto a new machine, or each one could even be placed on its own machine. With further growth, more VAXes of any size could be added on without displacing the first ones, nor would there be any visible difference to the users at the workstations.

"There really is no other line of hardware that has this extremely wide range of processing performance that all run compatible software, and that was important to us," Rosensaft says of DEC's hardware.

"The second thing was the ability to interface the front- and back-office with other systems and quote vendors. DEC has a corporate commitment to interfacing; it's been part of their strategy for years," Rosensaft adds.

"And since we wanted to use the workstation technology we wanted to make sure there was a lot of third-party software available to support the functions that we dump off--the analytics, the portfolio accounting--there's quite a lot of such software available.

"The very last reason was that we wanted to take the system anywhere in the world we wanted to go and know that a single vendor could support it and indeed, we have that possibility with Digital," says Rosensaft.

Transvik has "a very close working relationship," with DEC, Rosensaft notes, adding that other relationships concerning third-party applications, are in the works.

Working with DEC extends Transvik's own marketing efforts Wissen points out; as DEC makes its own bid for market share in the financial industry, Transvik's name is sure to come up.

"When DEC is talking to exchanges and markets that would need a system that would automate an exchange or market, we are obviously one of the few people who can do that, so our name comes up with those institutions," explains Wissen.

"When DEC is talking to a brokerage house about automating dealing room systems we're not really there because it's not a dealing room system; it's a system where one part of it is in the dealing room but it's not built to handle the problems of a dealing room itself," he adds.

#### Inevitable Developments

The advent of this kind of totally automated marketplace seems inevitable, suggest both Rosensaft and Wissen, but enthusiasm is not universal, since automation trends are perceived as a threat by some groups.

"There seems to be a consensus that this is where the market is going to go," Wissen points out. "A couple of years ago certain people were not all that enthusiastic and some people still are not enthusiastic."

Indeed when Wissen presented his ideas for the Transvik system at a WSCR-sponsored seminar in March 1985, he was greeted with outright hostility. "Obviously if you have an automated trading situation it's going to change the jobs for certain people and some people don't want their job descriptions changed, but that's part of evolution," Wissen suggests.

"It's not us changing the system," he continues, "it's the general trend. We have a system which is at the forefront. If you look at the people who are making decisions about these things they realize this [that automation will become more pervasive]. There are still people who are not enthusiastic about it, but there were people who weren't crazy about the automobile either."

"A fairly close analogy to what this [the Transvik System] and what effect it could have on an industry is what happened with the telephone or with ATMs," says Rosensaft.

"Alexander Graham Bell was very concerned that as the telephone became a commercial reality that it would fail because you needed one operator for every instrument above a certain number of instruments."

"It turns out he was right--we do need one operator for every telephone, but what's happened is that everyone who uses a telephone is now the operator.

"So we are not changing the market, we are continuing along the evolutionary trend," Rosensaft points out.

And that trend is eliminating as much manual activity as possible. Today, there's a lot of the securities trading process which is still done much the same way it's always been done.

"If you have all that great computer support for trading but when it comes to making the trade you still have to pick up the phone or scribble on a pad, you've lost a lot of the advantage of that computerized assistance," Rosensaft concludes. "You can make that process very smooth."

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?t17/3,k/all

>>>KWIC option is not available in file(s): 278

17/3,K/1 (Item 1 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2001 ProQuest Info&Learning. All rts. reserv.

02193718 74933076  
**A general model for corporate acquisition law**  
Stern, Yedidia Z  
Journal of Corporation Law v26n3 PP: 675-716 Spring 2001  
ISSN: 0360-795X JRNL CODE: JOCL  
WORD COUNT: 15244

...TEXT: were not aware. Apparently, the most thorough way to consider the value and scope of all the potential offers without missing any is by holding an auction .20

In an open auction the owner of property sells to the highest bidder. All traders are aware both of the property being sold and of the prices offered. Each potential...

17/3,K/2 (Item 2 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2001 ProQuest Info&Learning. All rts. reserv.

01908515 05-59507  
**Debt capital markets**  
Boyne, Mark  
Euromoney The 1999 Guide To The Philippines Supplement PP: 10-11 Sep 1999  
ISSN: 0014-2433 JRNL CODE: ERM  
WORD COUNT: 1037

...TEXT: bonds was held in April 1997.

Treasury bonds are issued on a weekly basis with auctions each Tuesday for settlement two days' later. Only one maturity is offered at each auction with two, five, seven and 10-year maturities rotating each week. Primary dealers are the same as for treasury bills. Awards are made on a Dutch auction basis with all bonds having the same coupon, equivalent to the yield on the highest accepted bid, and issued at par.

In all treasury auctions, bids may be rejected if the government feels that they are too high, resulting in acceptance...

17/3,K/3 (Item 3 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2001 ProQuest Info&Learning. All rts. reserv.

01052827 97-02221  
**A quiet day on IPE's London trading floor**  
Knott, David  
Oil & Gas Journal v93n25 PP: 31 Jun 19, 1995  
ISSN: 0030-1388 JRNL CODE: OGJ  
WORD COUNT: 550

...TEXT: more, well, civilized?

Fair play

Llewellyn explained that the pit traders were offering prices to **sell** and **bidding** to **buy** contracts. A contract entails 1,000 bbl of oil in the Brent pit or 100 metric tons of gas oil in the gas oil pit.

" All the **traders** ' **offers** and bids must be heard at the opposite side of the pit," said Llewellyn. A...

17/3,K/4 (Item 4 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2001 ProQuest Info&Learning. All rts. reserv.

00904429 95-53821  
**Logistics in command and mixed economies: The Russian experience**  
Rodnikov, Andrei N  
International Journal of Physical Distribution & Logistics Management  
v24n2 PP: 4-14 1994  
ISSN: 0960-0035 JRNL CODE: IPD  
WORD COUNT: 6349

...TEXT: military equipment on the basis of a single procurement principle.

In principle, FPS will assure **all vendors** , regardless of size of unit, equal opportunities to bid for Government business. The decree requires...

... and Roskhleboprodukt, for the purpose of placing an order, to advertise for bids, to organize **auctions** , to participate in trade fairs, etc. Quotations will be publicly posted, revealing offers to **all competitors**. Tabulations of **bids** in most cases will not be regarded as trade secrets.

The decree also provides for...

17/3,K/5 (Item 5 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2001 ProQuest Info&Learning. All rts. reserv.

00847199 94-96591  
**Electronic trading, market structure and liquidity**  
Massimb, Marcel N; Phelps, Bruce D  
Financial Analysts Journal v50n1 PP: 39-50 Jan-Feb 1994  
ISSN: 0015-198X JRNL CODE: FIA  
WORD COUNT: 10714

...TEXT: risk to the local providing immediacy will increase, reducing local participation. Open outcry and electronic **matching** differ significantly in the amount of market information available to the local trader, and this has implications for the relative participation of locals.

\* Disclosure of transaction details. Open outcry requires **all on-the-market bids** and offers to be announced publicly, allowing all participants in the **trading pits** (i.e., locals and brokers) to view **all trading activity**. Local **traders** know who is **bidding** , who is offering and who is **trading** with whom. A local trader in the pit knows, for example, whether many traders at...

17/3,K/6 (Item 6 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2001 ProQuest Info&Learning. All rts. reserv.

00615905 92-31007  
**Gambling on Portables**

Search Report from Ginger D. Roberts

Cervenka, Dana  
Communications v29n6 PP: 35-40 Jun 1992  
ISSN: 0010-356X JRNL CODE: CMN  
WORD COUNT: 1537

...TEXT: factor to be considered; that is, all projects over \$5,000 must go through the **bidding** process, which is a process somewhat contrary to the way retailers work. One reason that Herndon has never considered buying from a mass merchant is that all **vendors** eligible to **bid** for the university's projects must meet certain criteria necessary to be placed on an...

17/3,K/7 (Item 1 from file: 88)  
DIALOG(R)File 88:Gale Group Business A.R.T.S.  
(c) 2001 The Gale Group. All rts. reserv.

05872828 SUPPLIER NUMBER: 77355582  
**An Internet Multicast System for the Stock Market.**  
MAXEMCHUK, N. F.; SHUR, D.H.  
ACM Transactions on Computer Systems, 19, 3, 384  
August, 2001  
ISSN: 0734-2071 LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 14683 LINE COUNT: 01163

... stripe.

7.2 Unified Orders

The unified-order system is a sequence of offers to **buy** or **sell** stocks at a given price. The offers can be directed to a specific exchange or can be open to all participating exchanges. Our objective is to give all of the **traders** a fair opportunity to place their bids in the sequence of offers.

If the **buy** and **sell** offers are directed to a single exchange, the order of the sequence may be binding on the trades that occur. If the offer is open to all exchanges, the **offer** may just be an invitation for a broker to close a deal.

-----  
This system is...

17/3,K/8 (Item 2 from file: 88)  
DIALOG(R)File 88:Gale Group Business A.R.T.S.  
(c) 2001 The Gale Group. All rts. reserv.

04726784 SUPPLIER NUMBER: 19796251  
**What makes markets allocationally efficient?**  
Gode, Dhananjay K.; Sunder, Shyam  
Quarterly Journal of Economics, v112, n2, p603(27)  
May, 1997  
ISSN: 0033-5533 LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 9564 LINE COUNT: 00754

... as the current bid and current ask cross, there is a transaction. Otherwise, another trader **bids** / **asks** . If all **traders** have **bid** /asked and the current bid and current ask do not cross, then the market moves...

...is continued until the only available unit is sold.

In this section we assume that **bids** and **asks** are not made public, and therefore the probability distribution of bids and asks of ZI...

17/3,K/9 (Item 3 from file: 88)  
DIALOG(R)File 88:Gale Group Business A.R.T.S.

(c) 2001 The Gale Group. All rts. reserv.

04588660 SUPPLIER NUMBER: 20046271  
Fair Division: From Cake-Cutting to Dispute Resolution. (book reviews)  
Mulford, Matthew  
American Political Science Review, v91, n3, p714(2)  
Sep, 1997  
DOCUMENT TYPE: Review ISSN: 0003-0554 LANGUAGE: English  
RECORD TYPE: Fulltext  
WORD COUNT: 1482 LINE COUNT: 00120

... to the first. In chapters 8 and 9 the authors introduce a new, two-stage **bidding** procedure that protects bidders from the winner's curse. In the first stage, anonymous simultaneous bids are made. The amount of **all bids** but not who made them is then revealed. In the second stage, **all players** make another simultaneous bid; they can only use the bids made in the first round...

17/3,K/10 (Item 4 from file: 88)  
DIALOG(R)File 88:Gale Group Business A.R.T.S.  
(c) 2001 The Gale Group. All rts. reserv.

04570365 SUPPLIER NUMBER: 19918257  
Auto lease shopping now made easier. (Center for Study of Services' new offers LeaseWise service, a part of CarBargains: includes a related article on the pitfalls of the 'extras')  
Consumers' Research Magazine, v80, n10, p21(4)  
Oct, 1997  
ISSN: 0095-2222 LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 3184 LINE COUNT: 00245

... provisions which might be applicable to the particular car and lease-program combination.

5. When **all** the competitive **bids** have been gathered and verified by fax, CarBargains calculates a "monthly payment index" that ranks each dealer's monthly payment against **all other bidding dealers** for both the dealer's recommended lease plan and, if different, the lowest-cost lease...

17/3,K/11 (Item 1 from file: 9)  
DIALOG(R)File 9:Business & Industry(R)  
(c) 2001 Resp. DB Svcs. All rts. reserv.

03251919 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
Verizon Wireless lays cards on table in NextWave talks  
(Bids \$8.7 mil for 113 licenses after FCC re-auctions, reallocates or cancels NextWave's F-block and C-block licenses)  
RCR Wireless News, v 20, p 7  
October 01, 2001  
DOCUMENT TYPE: Journal ISSN: 0744-0618 (United States)  
LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 562

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...able to help accomplish this.'

The deal, if it can get done, would seemingly benefit **all** of the **players** involved in this years-long saga.

Search Report from Ginger D. Roberts

Re- auction bidders would get the licenses by paying nearly \$16 billion, the amount they bid earlier this year.  
The government would not get the total re- auction bid amount, but would get approximately double the \$4.7 billion NextWave bid and then didn't...

...NextWave would get \$5 billion, which would appear to be enough to emerge from bankruptcy.

All of the players would be free of a contentious litigation battle.

The letter is evidence that settlement negotiations...

17/3,K/12 (Item 2 from file: 9)  
DIALOG(R)File 9:Business & Industry(R)  
(c) 2001 Resp. DB Svcs. All rts. reserv.

02905392 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Emergence of e-broking**

(India's online trading market is worth some Rs10 crores/day vs gross combined turnover of some Rs9,000 crores/day-Rs10,000 crores/day handled by NSE and BSE)

Business Line, p 9

September 03, 2000

DOCUMENT TYPE: Journal; Industry Overview ISSN: 0971-7528 (India)

LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 1289

(USE FORMAT 7 OR 9 FOR FULLTEXT)

**TEXT:**

...000 to Rs. 500, but also allowed short sales and offered clients the option of trading against securities up to three times sales marked for delivery. Clearly, innovation offers limited scope for it is a matter of time before almost all the schemes offer more or less identical features. Depending on the client's risk profile, preferences and requirements...

...have to choose the different schemes. \* Is click-and-mortar the best bet?: As online trading is still at a nascent stage, practically all the major players which have set up e-broking outfits, aim at achieving two objectives. One, to broadbase...

17/3,K/13 (Item 1 from file: 610)  
DIALOG(R)File 610:Business Wire  
(c) 2001 Business Wire. All rts. reserv.

00547275 20010628179B7640 (USE FORMAT 7 FOR FULLTEXT)

**Onvia Signs 100th Florida Government Agency to Post Bids Online; Government Agencies Across Florida Go Online to Streamline Purchasing Processes**

Business Wire

Thursday, June 28, 2001 17:57 EDT

JOURNAL CODE: BW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSWIRE

WORD COUNT: 701

...Onvia we get access to a bigger and more diverse pool of vendors, which makes every bid more competitive."

Vendors receive notices of new bid opportunities by email or fax. With online bidding, vendors save time and reduce marketing expenses because they can

easily access opportunities without extensive...

17/3,K/14 (Item 2 from file: 610)  
DIALOG(R)File 610:Business Wire  
(c) 2001 Business Wire. All rts. reserv.

00515364 20010508128B5349 (USE FORMAT 7 FOR FULLTEXT)  
Construction Industry's First Virtual Office Trailer Launched by  
PipeDirect; Because 'IT' Makes Cents  
Business Wire  
Tuesday, May 8, 2001 08:38 EDT  
JOURNAL CODE: BW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
DOCUMENT TYPE: NEWSWIRE  
WORD COUNT: 677

...ancillary toolsets that work together to provide the total project management solution to contractors - and all their subcontractors and vendors .  
The Contractor Locator, and the Auction Line are the first two modules commercially deployed by PipeDirect.

The Contractor Locator addresses the inherent inefficiency of sourcing bidders for a project by allowing a contractor to manage their entire solicitation/ bid /spec/submittal/review process, and issue the ultimate award to the winning subcontractor(s). This...

17/3,K/15 (Item 3 from file: 610)  
DIALOG(R)File 610:Business Wire  
(c) 2001 Business Wire. All rts. reserv.

00424958 20001211346B2988 (USE FORMAT 7 FOR FULLTEXT)  
SupplyAccess Inc. to Provide eProcurement Solution for Los Angeles World Airports-Key Factors in Three-Year Contract Are Cost Savings, Fast Implementation, System Flexibility and Prior Experience Using a SupplyAccess Solution  
Business Wire  
Monday, December 11, 2000 06:53 EST  
JOURNAL CODE: BUSINESS WIRE, COMTEX LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
DOCUMENT TYPE: NEWSWIRE  
WORD COUNT: 571

SupplyAccess is creating a private marketplace where LAWA's bidding process can be simplified and automated for all vendors . It will offer an automated workflow schedule to replace the existing paper-based workflow.

In addition, SupplyAccess will...

17/3,K/16 (Item 4 from file: 610)  
DIALOG(R)File 610:Business Wire  
(c) 2001 Business Wire. All rts. reserv.

00321741 20000717199B3496 (USE FORMAT 7 FOR FULLTEXT)  
Flamin' Hot Cash Game From the Lottery Heats Up Summer  
Business Wire  
Monday, July 17, 2000 11:29 EDT

Search Report from Ginger D. Roberts

JOURNAL CODE: BW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
DOCUMENT TYPE: NEWSWIRE  
WORD COUNT: 271

...any of YOUR NUMBERS match the HOT NUMBER, you win the prize shown under the  
matching number. Uncover a "FLAME" symbol and win the prize shown under it  
automatically! Each ticket offers players five chances to win.

Flamin' HOT CASH has over 1.4 million automatic winners with...

17/3,K/17 (Item 1 from file: 47)  
DIALOG(R)File 47:Gale Group Magazine DB(TM)  
(c) 2001 The Gale group. All rts. reserv.  
>>>Accession number 5013445 is unavailable

17/3,K/18 (Item 2 from file: 47)  
DIALOG(R)File 47:Gale Group Magazine DB(TM)  
(c) 2001 The Gale group. All rts. reserv.

02510737 SUPPLIER NUMBER: 03305815 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Kings and queens. (evaluation)  
Wiswell, Phil  
PC Magazine, v3, p325(4)  
June 12, 1984  
DOCUMENT TYPE: evaluation LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
WORD COUNT: 1344 LINE COUNT: 00098

... of play in a logical order. On screen, one sees only the South hand during bidding, but all three computerized players' bids are displayed in standard bridge notation. The program responds to each of your plays with...

17/3,K/19 (Item 3 from file: 47)  
DIALOG(R)File 47:Gale Group Magazine DB(TM)  
(c) 2001 The Gale group. All rts. reserv.

02506500 SUPPLIER NUMBER: 03119347 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
The joy in designing a new OA system. (office automation) (column)  
Sandburg, Dorothy  
Office Administration and Automation, v45, p93(1)  
Feb, 1984  
DOCUMENT TYPE: column ISSN: 0745-4325 LANGUAGE: ENGLISH  
RECORD TYPE: FULLTEXT  
WORD COUNT: 529 LINE COUNT: 00044

... information, the RFP and a cover letter indicating the nature of the request and the bidding procedures should be distributed to all prospective vendors. A deadline for response to the RFP is necessary. In addition, each vendor who wishes...

...for proposal should be prepared to host an on-site demonstration of its system.

After all bids are received, the second stage of the selection process begins--the equipment evaluation.

17/3,K/20 (Item 1 from file: 239)  
DIALOG(R)File 239:Mathsci

(c) 2001 American Mathematical Society. All rts. reserv.

02648464 MR 97b#90041

**The all-pay auction with complete information.**

Baye, Michael R. (Department of Economics, Pennsylvania State University, University Park, Pennsylvania, 16802)

Kovenock, Dan (Department of Economics, Purdue University, West Lafayette, Indiana, 47907)

de Vries, Casper G. (Tinbergen Institute, Erasmus Universiteit Rotterdam, 3000 DR Rotterdam, The Netherlands)

Corporate Source Codes: 1-PAS-EC; 1-PURD-EC; NL-ROTT-TB

Econom. Theory

Economic Theory, 1996, 8, no. 2, 291--305. ISSN: 0938-2259

CODEN: ECTHEA

Language: English Summary Language: English

Subfile: MR (Mathematical Reviews) AMS

Abstract Length: MEDIUM (14 lines)

Reviewer: Summary

Summary: ``In a (first price) all-pay auction, bidders simultaneously submit bids for an item. All players forfeit their bids, and the high bidder receives the item. This auction is widely used in economics to model rent seeking, R&D races, political contests, and...

17/3,K/21 (Item 1 from file: 624)

DIALOG(R)File 624:McGraw-Hill Publications

(c) 2001 McGraw-Hill Co. Inc. All rts. reserv.

00882509

**WORLD FINANCE, REGIONAL GAS MARKET KEYS TO TURKEY'S AKKUYU PROJECT**

Nucleonics Week August 28, 1997; Pg 10; Vol. 38, No. 35

Journal Code: NUC ISSN: 0048-105X

Word Count: 4,674 \*Full text available in Formats 5, 7 and 9\*

BYLINE:

Mark Hibbs, Ankara

TEXT:

...Slipping Canadian Edge?

Diplomatic sources said that in late 1996, when Turkey re-opened the bidding on Akkuyu, AECL had a firm advantage over all other vendors. After the country's fragile Islamic regime tumbled this spring, however, the Canadian side may have lost its initial edge.

``On the same day the bidding started, AECL sent us its complete initial bid,`` on Turkish bid evaluator recalled. Canadian sources said that the AECL bid had been prepared...

17/3,K/22 (Item 2 from file: 624)

DIALOG(R)File 624:McGraw-Hill Publications

(c) 2001 McGraw-Hill Co. Inc. All rts. reserv.

0205622

**RANCHO SECO FUEL INVENTORY SOLD TO B&W; MATERIAL QUICKLY BOUGHT BY U.S.**

**UTILITY**

Nuclear Fuel March 19, 1990; Pg 4; Vol. 15, No. 6

Journal Code: NUF ISSN: 0149-3574

Section Heading: Uranium

Word Count: 632 \*Full text available in Formats 5, 7 and 9\*

BYLINE:

Eric Lindeman, Washington



TEXT:

...if delivered to the District."

Last November, SMUD offered its entire inventory for sale at auction (NF, 27 Nov. '89, 1 and 2). But the utility met with little success. Only three firms bid on the U308-- all broker/ traders . Nuexco, industry sources reported, was the effective high bidder for the material at \$9/lb, with UG offering \$9.10 with delivery further out, and Nukem bidding only \$8.50. SMUD allowed all of those offers to expire December 31 (NF, 8 Jan., 9).

Other alternatives to the settlement agreement considered...

17/3,K/23 (Item 3 from file: 624)  
DIALOG(R)File 624:McGraw-Hill Publications  
(c) 2001 McGraw-Hill Co. Inc. All rts. reserv.

0187296

**SPOT URANIUM MARKET FALLS BELOW \$9/LB**

Nuclear Fuel January 8, 1990; Pg 9; Vol. 15, No. 1

Journal Code: NUF ISSN: 0149-3574

Section Heading: Uranium

Word Count: 643 \*Full text available in Formats 5, 7 and 9\*

BYLINE:

Eric Lindeman, Washington

TEXT:

... Sacramento Municipal Utility District (SMUD) has apparently met with no success in its attempts to auction more than 1-million lb U308 equivalent. Only three firms bid on the U308-- all broker/ traders . Nuexco, industry sources said, was the effective high bidder for the material at \$9/lb, with UG offering \$9.10 but for delivery further out, and Nukem bidding only \$8.50. SMUD allowed all of the offers to expire as of December 31.

Although there have been no new spot market requests...

17/3,K/24 (Item 1 from file: 621)  
DIALOG(R)File 621:Gale Group New Prod.Annou.(R)  
(c) 2001 The Gale Group. All rts. reserv.

02820189 Supplier Number: 70969616 (USE FORMAT 7 FOR FULLTEXT)  
**Way2Bid Exchange Offers Electronic Sealed, Open or Blind Bidding to Public Purchasers; Members Can Use a Variety of Bidding Scenarios to Fit Their Needs.**

Business Wire, p0275

March 1, 2001

Language: English Record Type: Fulltext

Document Type: Newswire; Trade

Word Count: 466

... time-honored process ensures that all information remains private, ensuring fair and equal opportunity to all vendors . Blind bids prevent vendors from viewing bids submitted by other vendors and from knowing which vendors are...

...who creates the blind bid is able to view the incoming bids and monitor the bidding process. Open bids allow all participants, whether buyer or vendors, to view the identities of...

17/3,K/25 (Item 2 from file: 621)  
DIALOG(R)File 621:Gale Group New Prod.Annou.(R)  
(c) 2001 The Gale Group. All rts. reserv.

02753676 Supplier Number: 67831451 (USE FORMAT 7 FOR FULLTEXT)  
**SupplyAccess Inc. to Provide eProcurement Solution for Los Angeles World Airports.**  
Business Wire, p0038  
Dec 11, 2000  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 611

... automate and improve their procurement processes.  
SupplyAccess is creating a private marketplace where LAWA's bidding process can be simplified and automated for all vendors. It will offer an automated workflow schedule to replace the existing paper-based workflow.  
In addition, SupplyAccess will...

17/3,K/26 (Item 3 from file: 621)  
DIALOG(R)File 621:Gale Group New Prod.Annou.(R)  
(c) 2001 The Gale Group. All rts. reserv.

02176490 Supplier Number: 55797668 (USE FORMAT 7 FOR FULLTEXT)  
**eBay Great Collections Will Be World's Online Passport to Fine Collectibles.**  
PR Newswire, p9556  
Sept 21, 1999  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 662

... will also be available to users of the Great Collections site. The format of the auctions in Great Collections will be the same as eBay's.  
Items offered through eBay Great Collections will come with the same guarantees auction houses traditionally provide in the offline world.  
All dealers will offer a five-year guarantee of authenticity, in addition to a thirty-day money-back guarantee...

...is as it was described.  
About eBay  
eBay (www.ebay.com), the world's personal trading community(TM), pioneered person-to-person online trading. Founded in 1995, eBay has developed an efficient and entertaining trading site on the Web...

17/3,K/27 (Item 4 from file: 621)  
DIALOG(R)File 621:Gale Group New Prod.Annou.(R)  
(c) 2001 The Gale Group. All rts. reserv.

01704732 Supplier Number: 50290536 (USE FORMAT 7 FOR FULLTEXT)  
**Manheim Online, a Manheim Auctions CyberService, Reaches \$200 Million Milepost and \$1 Million Every Day in Vehicle Sales via the Internet**  
PR Newswire, p0908ATTU019  
Sept 8, 1998  
Language: English Record Type: Fulltext  
Article Type: Article  
Document Type: Newswire; Trade  
Word Count: 1185

... the highest bids. CyberAuctions gives dealers the advantage to bid on multiple vehicles at the auction's beginning and track vehicle bids

s throughout the online sale. When one dealer raises a bid, CyberAuction automatically updates all dealers' bid lists online to continuously

provide the most current information and pricing for each vehicle. At the sale's conclusion, Manheim Online posts the complete sales data informing dealers of the final bids and purchasers.

#### Accelerating Growth

Based on Manheim Auctions' aggressive technology initiative for 1998, the company projects Manheim Online's dealer subscribers will reach ...

17/3,K/28 (Item 5 from file: 621)  
DIALOG(R) File 621:Gale Group New Prod.Annou.(R)  
(c) 2001 The Gale Group. All rts. reserv.

01665861 Supplier Number: 50107959 (USE FORMAT 7 FOR FULLTEXT)  
Manheim Auctions and BMW Launch First 'Live Bidding' Wholesale Auto Auction on the Internet  
PR Newswire, p0623ATTU024  
June 23, 1998  
Language: English Record Type: Fulltext  
Article Type: Article  
Document Type: Newswire; Trade  
Word Count: 830

... of North America. "We see Silent CyberAuctions as a valuable tool that complements our existing auction structure in getting vehicles back into the marketplace more quickly so our retailers can sell them."

"Manheim Auctions was very pleased to have BMW as our first Silent CyberAuction customer," said Tom Nohstadt, Vice President of Internet for Manheim Auctions. "CyberAuctions allow all BMW dealers to bid simultaneously on multiple vehicles and purchase inventory from their home or office." The initial BMW sales have been successful, with 85 dealers bidding on more than 125 cars. We are confident that many more vehicles could be offered, during each auction, and we look forward to conducting regularly scheduled CyberAuctions with BMW.

Multi-Bid Opportunity of...

...highest bids. CyberAuctions allows dealers to bid on multiple vehicles at the beginning of the auction and track those vehicles throughout the sale timeframe. When another dealer raises a dealer's bid, CyberAuctions will automatically update all dealers' bid lists to provide the most current information and pricing for each vehicle. At the conclusion...

...the final bids and purchasers.

About Manheim Online

Manheim Online, an extended service of Manheim Auctions, is the world leader in auto-related electronic commerce. Manheim Online has been named one...

17/3,K/29 (Item 1 from file: 636)  
DIALOG(R)File 636:Gale Group Newsletter DB(TM)  
(c) 2001 The Gale Group. All rts. reserv.

04806308 Supplier Number: 66034410 (USE FORMAT 7 FOR FULLTEXT)  
**TD WATERHOUSE TO LAUNCH ACTIVE TRADER SERVICE.**(Brief Article)  
Financial Net News, v5, n41, p2  
Oct 9, 2000  
Language: English Record Type: Fulltext  
Article Type: Brief Article  
Document Type: Newsletter; Trade  
Word Count: 199

Competitors E\*Trade Securities, Charles Schwab & Co. and Fidelity Investments all offer active traders commission rebates through their respective active trader platforms.

A spokesman at Fidelity said that its active trading platform, which allows the firm's most active traders to pay as little as \$14...

17/3,K/30 (Item 2 from file: 636)  
DIALOG(R)File 636:Gale Group Newsletter DB(TM)  
(c) 2001 The Gale Group. All rts. reserv.

02109470 Supplier Number: 43910567 (USE FORMAT 7 FOR FULLTEXT)  
**BRANCH SUPPORT: HILLIARD LYONS PLANS SINGLE NET FOR MARKET DATA, BACK OFFICE**  
Wall Street Network News, v2, n1, pN/A  
June 18, 1993  
Language: English Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count: 714

... Token Ring local area networks linking 286-and 386-based IBM compatible PCs used for trading and administrative functions. The LANs have gateway access to mainframe applications, in addition to local...

...outcome of the market data decision is by no means certain, it is likely that all three vendors will offer the broker an improvement on the current six year-old installation at lower cost. The...

17/3,K/31 (Item 3 from file: 636)  
DIALOG(R)File 636:Gale Group Newsletter DB(TM)  
(c) 2001 The Gale Group. All rts.reserv.

01974038 Supplier Number: 43522638 (USE FORMAT 7 FOR FULLTEXT)  
**PRUDENTIAL SECURITIES BEGINS REQUIREMENT STUDY FOR 600-POSITION TRADING ROOM IN NEW YORK**  
Trading Systems Technology, v6, n12, pN/A  
Dec 14, 1992  
Language: English Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count: 892

... will issue several requests for information (RFIs) to various vendors for specific components of the trading -room system. These RFIs will lead to development of prototypes, upon which the ultimate bid...

...process will not resemble the typical RFP horse race that some firms undertake -- in which all vendors submit complete bids at the same time, and all the bids are evaluated at the same time, and then a

decision is made. Says Anderson: "Everyone..."

17/3,K/32 (Item 1 from file: 484)  
DIALOG(R)File 484:Periodical Abs Plustext  
(c) 2001 ProQuest. All rts. reserv.

03846500 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Price information in single call markets**  
Cason, Timothy N; Friedman, Daniel  
Econometrica (MET), v65 n2, p311-345, p.35  
Mar 1997  
ISSN: 0012-9682 JOURNAL CODE: MET  
DOCUMENT TYPE: Feature  
LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 9827

TEXT:

... penny) uniform distribution over the range [\$0.00, \$4.99]. Before the start of each trading period, each buyer saw her own value for that period and each seller saw his...

...cost, but no trader saw others' realized values or costs. At the conclusion of the trading period each trader observed the bids, asks, values, costs, and profits of all traders. We provided this complete ex post information to increase traders' opportunity to learn about their ...

17/3,K/33 (Item 2 from file: 484)  
DIALOG(R)File 484:Periodical Abs Plustext  
(c) 2001 ProQuest. All rts. reserv.

03175525  
**An analysis of the war of attrition and the all-pay auction**  
Krishna, Vijay; Morgan, John  
Journal of Economic Theory (IJET), v72 n2, p343-362, p.20  
Feb 1997  
ISSN: 0022-0531 JOURNAL CODE: IJET  
DOCUMENT TYPE: Feature  
LANGUAGE: English RECORD TYPE: Abstract

ABSTRACT: The war of attrition and the all-pay auction when players' signals are affiliated and symmetrically distributed are studied. Under the conditions of the study, the war of attrition raises greater expected revenue than all other known sealed-bid auction forms.

17/3,K/34 (Item 1 from file: 813)  
DIALOG(R)File 813:PR Newswire  
(c) 1999 PR Newswire Association Inc. All rts. reserv.

1337321 ATW013  
IN CPR AUT MLM SU

DATE: September 9, 1998 11:15 EDT WORD COUNT: 1,074

... the highest bids. CyberAuctions gives dealers the advantage to bid on multiple vehicles at the auction's beginning and track vehicle bids throughout the online sale. When one dealer raises a bid, CyberAuctions automatically updates all dealers' bid lists online to continuously provide the most current information and pricing for each vehicle. At the sale's conclusion, Manheim Online posts the complete sales data informing

dealers of the final bids and purchasers.

Accelerating Growth

Based on Manheim Auctions' aggressive technology initiative for 1998, the company projects Manheim Online's dealer subscribers will reach...

17/3,K/35 (Item 2 from file: 813)  
DIALOG(R)File 813:PR Newswire  
(c) 1999 PR Newswire Association Inc. All rts. reserv.

0595839 PH029  
LOTTO JACKPOT OFFERS MARYLANDERS \$9 MILLION PRIZE

DATE: May 17, 1993 14:44 EDT WORD COUNT: 294

...winner when the numbers 01-06-07-15-17-34 were drawn. There were a total of 4,018 players who did win prizes in this drawing. Of that number, 67 won \$1,092 by matching five of the six numbers, while 3,951 won \$31 each for correctly matching four of the six numbers.

Maryland's Lotto drawings are conducted twice weekly (Wednesdays and Saturdays) and each drawing offers the chance to win at least \$1 million. The drawings can be seen on WNUV...

17/3,K/36 (Item 1 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2001 The Gale Group. All rts. reserv.

07604229 Supplier Number: 57009803 (USE FORMAT 7 FOR FULLTEXT)  
Houston Street Exchange launches web trading floor.  
Murelio, April C.  
Electric Light & Power, v77, n9, p30(1)  
Sept, 1999  
Language: English Record Type: Fulltext Abstract  
Document Type: Magazine/Journal; Trade  
Word Count: 564

... he said, traders maintain total control over each transaction, with the ability to view their complete trading history, sort offers and bids by price, term, volume and delivery point, and trade 24 hours a day, 365 days a year. And the online service ensures the security and anonymity of each transaction.

Traders can customize their web pages so they see information that affects decisions on trading strategy such as five-day forecasts for about 150 cities, news headlines about the energy...

17/3,K/37 (Item 2 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2001 The Gale Group. All rts. reserv.

03898254 Supplier Number: 45615285 (USE FORMAT 7 FOR FULLTEXT)  
A quiet day on IPE's London trading floor  
The Oil and Gas Journal, p31  
June 19, 1995  
Language: English Record Type: Fulltext  
Document Type: Magazine/Journal; Trade  
Word Count: 552

... a little more, well, civilized?

Search Report from Ginger D. Roberts

Llewellyn explained that the pit traders were offering prices to **sell** and **bidding** to **buy** contracts. A contract entails 1,000 bbl of oil in the Brent pit or 100 metric tons of gas oil in the gas oil pit.  
' All the traders ' offers and bids must be heard at the opposite side of the pit,' said Llewellyn. A...

17/3,K/38 (Item 3 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2001 The Gale Group. All rts. reserv.

03811848 Supplier Number: 45438282 (USE FORMAT 7 FOR FULLTEXT)  
EDI Translators: The software choices are many  
Automatic I.D. News, p55  
April, 1995  
Language: English Record Type: Fulltext  
Document Type: Magazine/Journal; Trade  
Word Count: 1434

... products claim such compatibility. Installing one of these packages can be especially beneficial if your **trading** partner community represents multiple industries that likely use different VANS.

With one exception, **all** the **vendors** claimed that their products can be installed by the customer. This fact demonstrates well the...

...play" software. Twenty-three vendors include training with installation.

When it comes to support, nearly **all** of the **vendors** offer maintenance agreements. Whether it relates to software or transaction set maintenance, investing in such an...

...your dependency on EDI and the translator itself grows.

As indicated in the comparison chart, **all** of the **vendors** offer extended services after the sale. These services include integration of the translator with your in-house applications, data mapping assistance, EDI education, and help with setting up your **trading** partners.

Although these products are feature-rich, the key to successful implementation of an EDI...

17/3,K/39 (Item 1 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2001 The Gale Group. All rts. reserv.

12877883 SUPPLIER NUMBER: 67721191 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
AZ Stock Exchange getting new life.(Arizona Stock Exchange)(Brief Article)  
WAGNER, EILEEN BRILL  
Business Journal - Serving Phoenix & the Valley of the Sun, 21, 8, 1  
Nov 24, 2000  
DOCUMENT TYPE: Brief Article ISSN: 0895-1632 LANGUAGE: English  
RECORD TYPE: Fulltext  
WORD COUNT: 915 LINE COUNT: 00076

... markets open and close.

Wunsch said AZX is the nation's only electronic call market **auction**

Unlike continuous **trading** systems, the single-price **auction** runs on screen for a limited time, with a clock ticking down. **All** **traders** can see orders placed and how much time is left in the **auction** .

The **auction** balances **all** **bids** and **offers** for a stock to arrive at a consensus price. The electronic **auction** takes the volatility out of **trading** since each trader gets the same price at the same time and has the same...

17/3,K/40 (Item 2 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2001 The Gale Group. All rts. reserv.

11635739 SUPPLIER NUMBER: 58089591 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Sacramento Society for the Prevention of Cruelty to Animals (SSPCA).**  
Sacramento Business Journal, 16, 37, 22  
Nov 26, 1999  
ISSN: 8756-5897 LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 345 LINE COUNT: 00032

REIGNING CATS & DOGS GALA

October 7, 2000

Sacramento Convention Center

Join this formal dance/ **auction** with music and entertainment, while royal vintners, fine restaurateurs and microbrewers present the finest food and drink in **all** the land. **Merchants** offer wonderful treasures at a huge silent **auction**. Key sponsors for this event are Robert S. Taketa, DDS, Somers Building Maintenance Inc. and...

17/3,K/41 (Item 3 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2001 The Gale Group. All rts. reserv.

11586598 SUPPLIER NUMBER: 55503383 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Is simulation better than experience?(includes related articles)**  
Bertsche, Dory; Crawford, Christopher; Macadam, Stephen E.  
McKinsey Quarterly, 1, 50(8)  
Wntr, 1996  
ISSN: 0047-5394 LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 2797 LINE COUNT: 00231

... price and set the market price at the marginal bid that would meet market demand. **All** the units whose **bids** fell at or below the market price received that price for their energy; the rest...

...idle, losing money because of their fixed costs.

The simulation consisted of 10 "days" of **bidding**, during which no conferring was allowed. At the end of **each** day, **players** were shown their cash balances, which summed up their fixed costs and margins, if any  
...

17/3,K/42 (Item 4 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2001 The Gale Group. All rts. reserv.

09657872 SUPPLIER NUMBER: 19405684 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Firm offers controversial SOES stock trading here. (All-Tech Investment Group opens office in Redmond, WA; Small-Order Execution System)**  
Neurath, Peter  
Puget Sound Business Journal, v17, n45, p14(1)  
March 21, 1997  
ISSN: 8750-7757 LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 939 LINE COUNT: 00072

... has a group of 18 solid prospects for training as traders. For those with no **trading** and little or no computer experience, **All -Tech** offers a \$5,000 four-week training course in New Jersey. The training fee is rebated through reduced commissions.

Benson said **All -Tech** traders learn to recognize, and sometimes



anticipate, trends in stock prices, and to take advantage of...

17/3,K/43 (Item 5 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2001 The Gale Group. All rts. reserv.

07604697 SUPPLIER NUMBER: 16280071 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Agency's garbage could be another agency's treasure.**  
McCarthy, Shawn P.  
Government Computer News, v13, n24, p3(2)  
Nov 7, 1994  
ISSN: 0738-4300 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT  
WORD COUNT: 931 LINE COUNT: 00071

... the NASA's Arthur Wade looks over the acre of used ADP equipment to be **auctioned** soon if homes can't be found for it. warehouse each year. Old mainframes appear in almost **every** lot.

Scrap **dealers** bid a few hundred dollars for them, then rip out precious metals from the circuit boards...

17/3,K/44 (Item 6 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2001 The Gale Group. All rts. reserv.

05277681 SUPPLIER NUMBER: 11453629  
**Treasury sets bidding rules aimed at cleaning up troubled auctions .**  
**(Treasury Department to allow all broker dealers to bid on behalf of customers)**  
Thomas, Paulette; Herman, Tom  
Wall Street Journal , Mon ed, col 3, pC1(W) pC1(E)  
Oct 28, 1991  
CODEN: WSJOAF ISSN: 0193-2241 LANGUAGE: ENGLISH  
RECORD TYPE: CITATION

-----  
**Treasury sets bidding rules aimed at cleaning up troubled auctions .**  
**(Treasury Department to allow all broker dealers to bid on behalf of customers)**

17/3,K/45 (Item 7 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2001 The Gale Group. All rts. reserv.

04107134 SUPPLIER NUMBER: 07956257 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Living out every manager's dream. (magazine executive Peter Diamandis)**  
Diamandis, Peter  
Fortune, v120, n8, p109(4)  
Oct 9, 1989  
ISSN: 0015-8259 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
WORD COUNT: 2792 LINE COUNT: 00192

17/3,K/46 (Item 1 from file: 553)  
DIALOG(R)File 553:Wilson Bus. Abs. FullText  
(c) 2001 The HW Wilson Co. All rts. reserv.

04089169 H.W. WILSON RECORD NUMBER: BWBA99089169 (USE FORMAT 7 FOR FULLTEXT)  
**The design and development of a financial cybermarket with a bundle trading mechanism.**  
Fan, Ming

Search Report from Ginger D. Roberts

Stallaert, Jan; Whinston, Andrew B  
International Journal of Electronic Commerce (Int J Electron Com) v. 4 no1  
(Fall 1999) p. 5-22  
LANGUAGE: English  
WORD COUNT: 7620

(USE FORMAT 7 FOR FULLTEXT)

TEXT:

... as well as the current highest bid and lowest ask price, are also available to all traders . The limit order book, which contains all the bids and asks , is not made available to general traders.

IMPLEMENTING WITH JAVA AND DISTRIBUTED OBJECTS  
The electronic...

17/3,K/47 (Item 1 from file: 256)  
DIALOG(R)File 256:SoftBase:Reviews,Companies&Prods.  
(c)2001 Info.Sources Inc. All rts. reserv.

00128214 DOCUMENT TYPE: Review

PRODUCT NAMES: Microsoft Commerce Server 2000 (661821); BuyerXpert (031542); SellerXpert (035343); ECXpert (657506); WebSphere Commerce Suite (794902)

TITLE: Microsoft, iPlanet, IBM ready e-commerce wares  
AUTHOR: Fontana, John  
SOURCE: Network World, v17 n49 p10(2) Dec 4, 2000  
ISSN: 0887-7661  
HOMEPAGE: <http://www.nwfusion.com>

RECORD TYPE: Review  
REVIEW TYPE: Product Analysis  
GRADE: Product Analysis, No Rating

REVISION DATE: 20010430

...Market Maker, and IBM's WebSphere Commerce Suite are software products for creating Web sites. All three vendors offer sell-side applications that include catalog, search, customer-tracking, data-mining, profiling, and development tools. IPlanet also offers applications for other activities such as billing and trading . Commerce Server 2000 only runs on Windows 2000 and has a new product-catalog system...  
?

Boston-based State...

...analysts predict,  
10% of fixed-income volumes will be.

Bond Connect will increase liquidity in trading, State Street said.

Traditionally, bids to buy and sell bonds move through a series of broker intermediaries. Instead, Bond Connect will anonymously match buy and sell bids.

All bids will be considered collectively-initially, once a day. To promote matches between buy and sell orders, the system will produce a complete listing of orders for traders to peruse.

Buy and sell orders will be matched using a complex algorithm in a process that takes less than 10 minutes. Once the matching is complete, traders will receive electronic notifications of all the resulting executions.

State Street and Bridge said the system should promote trading of bonds that otherwise would not be traded-at least not without the efforts of...

...Bond Connect will be an addition to State Street's Global Link suite of electronic trading systems, which includes Lattice Trading for equities and

FX Connect for foreign currency conversions. All of these are products of ...  
...information and automate trade executions.

Net Exchange of Avalon, Calif., will provide Bond Connect's matching engine. Users will gain access to Bond Connect through BridgeStation, Bridge's flagship workstation. Once...

COMPANY NAMES (DIALOG GENERATED): Bank of New York ; Bridge Information ; Lattice Trading ; Net Exchange ; State Street Corp ; Telerate ; Tower Group

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22/3,K/2 (Item 2 from file: 625)  
DIALOG(R) File 625: American Banker Publications  
(c) 2001 American Banker. All rts. reserv.

0063258

From the Buttonwood Tree To International Trading : Once centralized,  
trading now encompasses foreign exchanges and raises questions about  
global regulations.

American Banker - July 30, 1987; Pg. 15; Vol. 152, No. 148

WORD COUNT: 1,511

BYLINE:

By John P. Forde

From the Buttonwood Tree To International Trading : Once centralized,  
trading now encompasses foreign exchanges and raises questions about  
global regulations.

SECTION HEADING: GLOBAL TRADING

TEXT:

...companies.

That tree, therefore, could be considered one of the first innovations to centralize the trading of stock. Having all the traders in the same place made regulation and surveillance easier.

Modern equities trading, however, is no longer being done strictly on a trading floor with one clearing house offering stated-bid and asked

rates. For example, several stock...

...about regulation? Does the U.S. investor who wishes to dive into the global equities trading market have the same safeguards that he is accustomed to at home?

The latter question...

...not all stock exchanges operate under the same rules, especially in matters concerning disclosure of all competing bids, registering brokers, and surveillance of trades. Instead of securities being sold through a highly managed...

...at different prices.

For example, the shares of Chase Manhattan Corp. are officially listed for trading on stock exchanges in New York, Dusseldorf, Frankfurt, Paris, London, and Tokyo. Other major companies...

...fact that they are in different time zones, has brought a new possibility to equities trading. It is the "floating book," a book of shares that passes from market to market...

...Watchdog

The Securities and Exchange Commission (SEC), which is the chief regulatory watchdog of equities trading in the United States, has not yet reported a problem with global equities trading, but it is proceeding carefully.

Where these linkages have been formed between exchanges there have...

...branch chief at the SEC who follows the National Market System, closely watches secondary-market trading of stocks, an area that has boomed in international markets.

He says the SEC's interest in global equities trading has been primarily concerned with three areas: clearance and settlement of trades; information and surveillance... Switzerland; and Ontario, Canada. The memoranda allow for the exchange of information relating to securities trading.

The broker/dealer registration concerns have extended primarily to foreign brokers doing business in the...  
...brokers here.

The most vibrant test ground for U.S. investors interested in global equities trading so far has probably been NASDAQ. In 1986, NASDAQ traded a total of 2.4...

...1985.

Given this growth in the market and the volume that is possible in international trading, Douglas F. Parrillo, a senior vice president at NASD, says it is in the "enlightened..."

22/3,K/3 (Item 3 from file: 625)  
DIALOG(R)File 625:American Banker Publications  
(c) 2001 American Banker. All rts. reserv.

0046541

Keeping the Steel Moving is Job One: Automakers' Finance Companies May Diversify, but Car Loans Are Still The Key

American Banker - January 2, 1986, Thursday; Pg. 1

WORD COUNT: 2,020

BYLINE:

By ROBERT M. GARSSON

TEXT:

...has signed on 900 of the state's 1,370 dealerships. About 45% of that total are import dealers ; the rest are domestic.

Among Marine's recent coups is the signing of a contract...automatically that the finance unit will get all of the dealer's business.

In almost every case, dealers will offer their loans, known in the business as retail paper, to a number of lending institutions...

... of lenders in line to bid on the paper provides a number of alternatives. Electronic Bidding in the Offing

Also helpful is the ability to bid quickly. GMAC, for one, is...

22/3,K/4 (Item 1 from file: 268)

DIALOG(R)File 268:Banking Info Source

(c) 2001 ProQuest Info&Learning. All rts. reserv.

00404529 82423717 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Technology with a vengeance: The new economics of mortgaging

Jacobides, Michael G

Mortgage Banking, v62, n1, p118-131, Oct 2001 DOCUMENT TYPE: Periodical;

Feature LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 7,657

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... development, which tried to revolutionize the link between bankers and brokers, was the institution of auctions sites and BaB marketplaces-which were all the rage in late 1999 and early 2000...

...brokers would be posting their loans onto these virtual markets, and then lenders would be bidding up until the loan closed to the best offer.

The offering of the choices of...

...making the entire package unattractive, even if e-markets operated at a loss. Furthermore, the auctions sites, rather than speeding up the process, slowed it down. It took more time for...

...have a commitment from the lender quickly to get it to their customers without delay, auction sites did not, on average, add too much value.

Yet beyond the simple cost comparison, other factors impeded BaB auction growth. Many brokers will not transact with lenders they don't know, for fear of poor service. This meant the supply of loans coming into the BaB auction sites was hampered. But, more important, lenders did not want to transact blindly with brokers...the not-so-good credits alike, rather than giving all the good credits to the auction site, trying opportunistically to maximize returns on the easily sellable loans. The net-net comparison of the "pooled" transaction with few lenders and the "separate" interactions with many lenders, including auction-based transactions, makes the pooled solution more attractive. In turn, this means that the auctions are not likely to ever get the volumes initially forecast.

Furthermore, the auctions, which were reputed to be the disintermediators of the tradition lenders along the value chain...

...loan agent knew who the broker selling the loan was, the agent could bypass the auction and then conclude the deal privately. For all the safeguards put in place by the auction houses, this risk never quite went away.

Still, some new, technologically enabled species have emerged...

...lenders. Rather than having just the basic loan information (as would

typically happen in an **auction** site), the entire loan application, "digestible" from the lender's system, can now be transferred...

...that the broker can do some comparison-shopping. Thus, without being as ambitious as an **auction** model, these new technological ventures significantly reduce transaction costs-and thus facilitate market exchange and...

...why we care B2B exchanges appeared in other segments of the industry as well. In **whole** mortgage loans, some **players** (such as Ultraprise Loan Technologies Inc., Frederick, Maryland, and Pedestal Inc., Washington, D.C.) have...The transformation of the industry "integrated" mind-set and the increasing practice of mixing and **matching** enabled by technology, will take a while to realize, however. This is so, not the...

...sites that serve as either cyberbrokers or merely referral sources for mortgage lenders-generally called **aggregators** -arguably offer superior value to the consumer. These sites offer searchable menus of large numbers of programs...

22/3,K/5 (Item 2 from file: 268)  
DIALOG(R)File 268:Banking Info Source  
(c) 2001 ProQuest Info&Learning. All rts. reserv.

00395046 68145162 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Getting it all together**  
Shacklett, Mary  
Credit Union Magazine, v67, n2, p62-68, Feb 2001 DOCUMENT TYPE:  
Periodical; Feature LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 2,209

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...ABSTRACT: nonfinancial products made available through partnerships with other providers. These services could include online stock **trading**, financial planning, trust and tax services, e-mail, frequent flier accounts, car pricing and locating...

... nonfinancial products made available through partnerships with other providers. These services could include online stock **trading**, financial planning, trust and tax services, e-mail, frequent flier accounts, car pricing and locating...

...demands, we'll delay the project and return to a request-for-proposal process with **aggregation vendors**. Regardless of which approach we take, we're moving forward."

A SUCCESSFUL STRATEGY  
A successful...

...and what kind of capital commitment is the aggregator bringing to the table?

\* Does the **aggregator** offer an affordable solution?  
\* What liabilities does the aggregator accept? What type of Internet security is...

22/3,K/6 (Item 3 from file: 268)  
DIALOG(R)File 268:Banking Info Source  
(c) 2001 ProQuest Info&Learning. All rts. reserv.

00376808 42520774 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**EMCC transforms clearing for Brady bonds**  
Chamberlin, Michael

International Financial Law Review, v18, n6, p11-14, Jun 1999

DOCUMENT TYPE: Periodical; Feature LANGUAGE: English RECORD TYPE:

Fulltext

WORD COUNT: 3,362

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...ABSTRACT: widespread concerns about the spread of the Asian financial downturn throughout the emerging market, worldwide **trading** volume in Brady bonds and other emerging markets debt instruments amounted to nearly \$4.2...

...Clearing Corporations (EMCC), which has substantially reduced counterparty risk and improved operational efficiency in the **trading** of Brady bonds and other emerging markets debt instruments.

TEXT:

The Emerging Markets Clearing Corporation reduces risk and improves efficiency in **trading** Brady bonds and other emerging markets debt instruments. Michael Chamberlin, Executive Director of the Emerging...

...widespread concerns about the spread of the Asian financial downturn throughout the emerging markets, worldwide **trading** volume in Brady bonds and other emerging markets debt instruments amounted to nearly \$4.2...

...Clearing Corporation (EMCC), which has substantially reduced counterparty risk and improved operational efficiency in the **trading** of Brady bonds and other emerging markets debt instruments.

High **trading** volumes

The need for EMCC was precipitated by the rapid and successful growth of the...

...markets in search of new instruments and higher yields. There has been rapid growth in **trading** volumes, attributable in large part to increasing investor appetite for high-yielding emerging markets debt...

...substantially completed, the aggregate face amount of Brady bonds stands at approximately \$140 billion, and **trading** volumes have increased rather dramatically from 1993, when just over \$1 trillion face amount of Brady bonds traded. Although it is widely expected that Brady bond **trading** volumes will taper off as emerging markets countries gradually retire Brady bonds through their normal refunding operations, Brady bond **trading** should remain at a high level for the foreseeable future and has been supplemented by substantial **trading** activity in sovereign Eurobonds.

Screen-based **trading**

As **trading** volumes have rapidly grown, **trading** activity in the interdealer market has become increasingly concentrated through one or more networks of broker screens, provided by up to seven different securities brokers.

For many years, most **trading** in the global over-the-counter market for emerging markets debt instruments has involved 15 to 20 important dealers. Since 1993, their **trading** activity with each other has increasingly been conducted through broker screens, which offer the advantages...

...and efficiency. Some of these dealers execute as much as 90% of their Brady bond **trading** in the interdealer market through these screens, as compared with 50% or less in 1994...

...probably account for up to 75% of the interdealer market for Brady bonds.

Typically, the **trading** of Brady bonds through these broker screens is conducted on a no-name give-up basis, meaning that the screens list

each dealer's bids and offers anonymously. For each trade, the broker enters into an offsetting purchase and sale...

...a private clearing entity, which typically assumes responsibility for each trade either late in the trading day or on the following morning. With the exception of one broker, substantially all of this trading activity has been cleared through a single private clearing firm.

Development of EMCC

In early 1995, EMTA began to study whether the combination of the rapid increase in aggregate trading volumes and the increasing concentration of this trading through broker screens that were cleared by a private clearing firm, justified the development of...

...composed of a diverse group of industry representatives from all sectors of the emerging markets trading community.

The final report of the feasibility study group, which was circulated widely throughout the emerging markets trading community in March 1996, recommended that EMCC be established as rapidly as practicable. The report ...

...that, among other things, EMCC would have the following benefits to the emerging markets debt trading community:

- immediate reduction through netting of up to 50% in overall counterparty credit risk;
- cost...

...of Understanding to jointly develop EMCC, which would be substantially owned by the emerging markets trading community and operated as an affiliate within the NSCC family of clearing corporations.

After the...

...supervise EMCC's construction and implementation by NSCC's technical team. Because of the increasing trading activity in emerging markets Eurobonds (which exceeded \$1.6 trillion in 1998), the International Securities...

...participants in April of that year.

How EMCC works

EMCC is owned by the emerging markets trading community and operated as part of the National Securities Clearing Corporation family of clearing corporations...with appropriate modifications to accommodate the particular needs and requirements of the emerging markets debt trading marketplace. These modifications were developed with substantial input from the risk management, operations and legal...

...subcommittees of the EMCC Policy Group, based on their collective experience in the emerging markets trading industry.

EMTA's principal purpose in sponsoring EMCC was to support the further development of screen-based trading in the interdealer market by reducing counterparty risk and improving certain operating efficiencies. The implementation...

...affected the process of entering into trades of emerging markets debt instruments or on existing trading patterns.

Buyer and sellers of Brady bonds and other eligible emerging markets debt instruments in...

...through either EMTA's Match-EM system or directly to EMCC (see EMTA offers electronic matching for Brady bonds and loans, IFLR, June 1996.)

To simplify and speed up its development...

...levels for each EMCC participant are determined based upon historical measures of its most recent trading activities, subject to daily margin calls as appropriate to reflect the daily calculation of net...



...and feasible to include within EMCC. These studies are reviewing such issues as instrument characteristics, **trading** patterns and settlement methods, as well as counterparty risk implications and local legal and regulatory...

...246 billion. By the end of this first operating year, EMCC was consistently achieving a **matching** rate of 90% or more on trade date, on **trading** volumes of approximately 750 sides per day.

Because emerging markets debt **trading** is subject to occasional surges in **trading** volumes and periods of extreme price volatility, EMCC's operating capability, and its benefits to the **trading** community, are perhaps best measured by its performance during such times of market stress.

One such period of extreme downward price volatility coupled with an exceptional surge in **trading** activity occurred in late October 1997, shortly before EMCC received its final SEC approval. Although...

...operations would likely have had on the industry's ability to absorb the surge in **trading** volumes.

In its report to the SEC regarding this evaluation, the National Securities Clearing Corporation...

...withdrawal of the leading interdealer broker from active participation in the market after exceptionally heavy **trading** activity caused severe processing difficulties and delays), EMCC would have substantially increased certainty as to...

...although EMCC would not necessarily have prevented the leading interdealer broker from becoming overwhelmed by **trading** activity, EMCC's straight-through processing capability would have resulted in quicker trade **matching** and more certain transmission ...greater market confidence in the ability of the marketplace to absorb and digest surges in **trading** activity.

The first real-life test of EMCC's operational capability and risk management system occurred during a second episode of price volatility and high **trading** activity that occurred in the late summer of 1998 in the wake of the effective...

...period were characterized by sharp price decreases for most instruments and by higher than normal **trading** activity (though not as high as the surge in **trading** volumes that occurred during the week of October 27 1997). Throughout the August/September period...

...with volumes peaking on several days at over two-times normal levels), EMCC still achieved **matching** levels on trade date of over 90%.

This high level of trade-date **matching** during a time of real financial crisis provided market participants with assurance that market infrastructure...

...able to handle market stress than in the previous year. Unfortunately, despite these high trade **matching** levels, settlement ratios declined sharply during this period as sellers, among other things, were unable...

...a number of delays that have prevented its benefits from being fully realized by the **trading** community. Some of the factors causing these delays relate to the ambitious nature of EMCC...

...amortize developmental and operating costs over a participant group that currently includes most, but not all, big market **players**. Participation by some firms has been delayed by priority and resource constraints that have been...

...of direct trade inputting.

Recent market conditions, while resulting in somewhat reduced average levels of **trading** activities, have focused attention on weaknesses in the processing capacity and capitalization of the interdealer...

...clearing arrangements. In the midst of concerns about how to address the credit implications of **trading** through the interdealer broker screens, most big dealers appear to have concluded that, rather than...

...such enforceability has been confirmed under the laws of the Bahamas, because the emerging markets **trading** activities of a number of important financial institutions are conducted by entities incorporated there.

It...current and future needs of the marketplace by permitting the inclusion of as many major **trading** houses as practicable, while at the same time ensuring that the highest standards of safety...

...in the development and application of EMCC's membership eligibility criteria to ensure that local **trading** firms can be accepted as EMCC member/participants without undue difficulty.

Because EMCC's membership...

...multilateral netting

EMCC is a significant step in the continuing maturity of the emerging markets **trading** industry. Through the benefits of collateralization of net positions and economies of scale, the industry...

...and operated Emerging Markets Clearing Corporation helps reduce risk and improve operational efficiency in the **trading** of Brady bonds and emerging market Eurobonds and, as new instruments are added, other emerging...

...to ensure not only that current needs for greater safety and efficiency in Brady bond **trading** are met, but also that future ones can be accommodated as the emerging markets **trading** industry continues to grow and evolve. Because the emerging markets **trading** industry encompasses many time zones and legal jurisdictions, there will be many challenges in making...

...DESCRIPTORS: Securities **trading** volume

22/3,K/7 (Item 4 from file: 268)  
DIALOG(R)File 268:Banking Info Source  
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00373739 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Debt capital markets**

Boyne, Mark

Euromoney, v1999, p10-11, Sep 1999 DOCUMENT TYPE: Journal Article

LANGUAGE: English RECORD TYPE: Abstract Fulltext

WORD COUNT: 01037

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... the same time, the infrastructure of the government securities debt market has improved tremendously. The **auction** process has been automated and the exchange of physical bills and bonds has been replaced...

...near future. Also, the Philippine Stock Exchange has recently issued rules governing the listing and **trading** of debt paper on the Exchange. Meanwhile, the Money Market Association of the Philippines is...

...efficient market in the near future.

Treasury bills are issued on a weekly basis with **auctions** each Monday for settlement two days' later. Primary dealers (of which there are approximately 50) submit either competitive or noncompetitive bids by

1.00pm on the **auction** date. Noncompetitive bids are awarded at the average of the accepted competitive bids, but cannot exceed 40% of the **total** awards. For competitive **bids**, the lowest yield is accepted and filled to the amount bid for. Securities are awarded to progressively higher bids until the full **auction** amount is met.

Until seven years ago, treasury bills were the only form of domestic

...

...bonds was held in April 1997.

Treasury bonds are issued on a weekly basis with **auctions** each Tuesday for settlement two days' later. Only one maturity is offered at each **auction** with two, five, seven and 10-year maturities rotating **each** week. Primary **dealers** are the same as for treasury bills. Awards are made on a Dutch **auction** basis with all bonds having the same coupon, equivalent to the yield on the highest accepted bid, and issued at par.

In all treasury **auctions**, **bids** may be rejected if the government feels that they are too high, resulting in acceptance of less than the amount of securities initially offered or even outright failure at an **auction**.

Commercial paper is the principal form of negotiable debt instrument issued by resident companies.

A...

...spread. The base rate is the weighted average of accepted bids at the past two **auctions**, but it is possible that no bid is accepted at a particular **auction**. In such a case, provisions are made for the base rate to be determined at the **auctions** immediately following the interest rate reset date, in other words the interest rate used is...Mark Boyne,

Treasurer, Philippines

Tel: +63 2 814 5329

Wick Veloso, Head of Interest Rate **Trading**

Tel: +63 2 814 5352

Oslec Lopez, Head of Fixed Income Sales

Tel: +63 2...

22/3,K/8 (Item 5 from file: 268)

DIALOG(R)File 268:Banking Info Source

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00339833 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Improving real estate loan turnaround with the Internet

Schafer, Scott M

Journal of Lending & Credit Risk Management, v80, n11, p36-39, Jul 1998

DOCUMENT TYPE: Journal Article LANGUAGE: English RECORD TYPE: Abstract

Fulltext

WORD COUNT: 01196

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... lender a distinct competitive advantage.

Finding the Problem

Marine Midland Bank examined its process of **bidding** and engaging appraisal and environmental reports to identify opportunities for time savings and speedier commercial...

...the report. However, a fair amount of time (six to seven days) was consumed by **bidding** and engaging the assignment. This segment of the process was scrutinized in detail to identify...

...property address, the RM's name, and the contact name at the property.

4. Once all **bids** are received, a winner is selected and property information is transposed onto the summary form...

...developed by vendors were examined and at least one product offered a

viable means of **bidding** , engaging, and tracking assignments. Several thousand dollars in "site" construction costs, as well as maintenance...

...items were in place (a procedure which took a surprisingly small amount of time), the **bidding** and engaging process was altered as follows:

Type salient property data into the bid solicitation...

...property types, such as hotels.

Click on the send button to email the request to **each** of the **vendors** contained in the list.

Vendors respond by electronically "stapling" the fee and turnaround time to...

...winning bidder (see Figure 2).

This process eliminates most of the labor-intensive aspects of **bidding** and engaging assignments, especially the recopying and typing of information. In addition, postal service delays are removed from the procedure.

#### Results

The streamlining of the **bidding** and engaging process has not only increased the efficiency of the bank's staff, it...

...contacted under the former system, the ease of use of e-mailing allows opening the **bidding** to numerous firms. The additional competition resulted in an 8% savings on environmental fees and...of successful bids.

#### Conclusion

By involving the Internet and its quick, reliable communication feature, the **bidding** and engaging of commercial appraisals and environmental reports can be improved. The result is faster...

22/3,K/9 (Item 6 from file: 268)

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00314444 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Will it be different this time?

Gordon, Sally

Mortgage Banking, v57, n10, p42-52, Jul 1997 DOCUMENT TYPE: Journal

Article LANGUAGE: English RECORD TYPE: Abstract Fulltext

WORD COUNT: 06071

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... competitors or business strategies, openended answers sounded similar themes: "Asset growth is a requirement for **all** ;" and "Real estate **offers** big outstandings:"

Bankers persistently reported receiving "more pressure for earnings from real estate lending." Several...40 percent expect to engage in more distribution, and 30 percent anticipate some expansion in **trading** and advisory activities (see Figure 13). National/superregional banks are more likely than global banks to expect increased involvement in selected capital market activities, particularly distribution and **trading** .

(Graph Omitted)

Captioned as: FIGURE 10

(Graph Omitted)

Captioned as: FIGURE ii

(Table Omitted)

Captioned...whenever possible. More important, the substantive requirements inherent in this model impose a discipline on **all** **players** , whereby all participants are forced to recognize changes in the market as they occur and...

22/3,K/10 (Item 7 from file: 268)  
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00290894 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Credit derivatives: New financial instruments for controlling credit risk**  
Neal, Robert S  
Economic Review (Federal Reserve Bank of Kansas City), v81, n2, p15-27,  
Second Quarter 1996 DOCUMENT TYPE: Journal Article LANGUAGE: English  
RECORD TYPE: Abstract Fulltext  
WORD COUNT: 06147

(USE FORMAT 7 OR 9 FOR FULLTEXT)  
... increase the costs of borrowing. For example, the recent disclosure of a \$1.1 billion **trading** loss at Daiwa Bank raised fears of the bank's default, which increased its cost...some credit risk by lending to different dealers, cyclical movements in the economy will affect **all dealers**, thereby limiting the opportunities for diversification.

Securitization and loan sales. In recent years, the development...risk on \$50 million of its loan portfolio. 7

(Chart Omitted)

Relative to loan sales, **total** return swaps **offer** two important advantages. First, they allow banks to diversify credit risk while maintaining confidentiality of...any derivative instrument for speculation instead of hedging. For example, losses from unwarranted derivatives-related **trading** caused the dissolution of Barings PLC, a British investment bank, and contributed to the default...different agencies and under different terms. Swaps, for example, are regulated by the Commodities Futures **Trading** Commission. Suppose that a firm enters a credit swap contract. If the regulatory status changes...

...termed non-investment-grade, or junk, bonds.

3 Two weeks after the disclosure of the **trading** loss, Standard and Poor's downgraded Daiwa's bonds. The bond market reaction to the...

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22/3,K/11 (Item 8 from file: 268)  
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00281664 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Did Merrill bid too low?**  
Caplen, Brian  
Euromoney, v322, p44-50, Feb 1996 DOCUMENT TYPE: Journal Article  
LANGUAGE: English RECORD TYPE: Abstract Fulltext  
WORD COUNT: 05157

(USE FORMAT 7 OR 9 FOR FULLTEXT)  
... which had made plain its intentions to win at almost any cost, was disqualified for **bidding** too low on the fixed-fee part of the mandate. Since Morgan Stanley's Latin...

...no major grounds for complaint since they were strongly vocal in favour of the chosen **bidding** procedures. In fact Gros, who did not return telephone calls for this article, was said to be among the most vociferous advocates of the CVRD edital, as the **bidding** terms and conditions are known.

"Every one [of the bankers involved] called me to say...not to have control?" he asks.

Interestingly, however, Banco Bozano Simonsen did not join the **bidding** process for the mandate because of the chance that it could be a trade **auction**. The bank expects to be active on the buy side of the CVRD privatization and...

Search Report from Ginger D. Roberts

...the government money for the fixed fee). The aim was to have a totally clean **bidding** process, free from allegations of corruption or nepotism, and to ensure that the final valuation...

...as a percentage of the sale value of shares and counted for 20% of the total **bid**. It was at this stage of the process that Merrill Lynch's 1.31% bid...

...a moderate price bid would have been enough to clinch the deal. Market gossip gives **all players** an idea of the bid range and some members of the Morgan Stanley consortium, say...

...of the results.

Then the bombshell dropped. The Morgan Stanley group had been eliminated for **bidding** too low in the fixed-fee section. According to the editorial, "proposals with clearly unexecutable..."

22/3,K/12 (Item 9 from file: 268)  
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00279233 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Insurers won't succeed doing business as usual**  
Mayewski, Larry G; Albanese, Michael L; Brey, David A; Pallay, Gary S; et al  
Best's Review (Life/Health), v96, n9, p40-52+, Jan 1996 DOCUMENT TYPE:  
Journal Article LANGUAGE: English RECORD TYPE: Abstract Fulltext  
WORD COUNT: 21007

(USE FORMAT 7 OR 9 FOR FULLTEXT)  
... along with many others, were able to improve cash flow testing results and asset-liability **matching** by selling mortgage-backed securities and reinvesting primarily in investment-grade corporate bonds with better call protection.  
Another approach to interest rate risk management, asset-liability **matching** and yield enhancement or specific product strategies which saw increased utilization during 1995 was derivative...for the future.  
By and large, 1995 was a year of adjustment and retrenchment for **all health care players**. In the absence of a national reform program, many health insurers and managed care companies...

...to spur market reforms in the private sector. This has changed the market dynamics for **all the players** in the health care arena, especially health insurers.

One notable trend has been the continued...network and utilization will approximate HMO experience. In addition, New York State law now requires **all HMOs** to **offer** POS options, and other states are considering similar requirements.

Market forces are clearly stronger in...M. Best believes these reform efforts will continue to create a fluid regulatory environment, forcing **all the players** to react. Already the market forces that have been unleashed led many health insurers to...decrease from 1993's record issuance of \$679 billion. Financial institution participation on both the **buy** and **sell** side of the market -- the result of the on-going consolidation of banks and the...

22/3,K/13 (Item 10 from file: 268)  
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00273697 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Get the most "spark" from your commercial paper program

Smith, Vaughn

Corporate Cashflow, v16, n11, p57-60, Nov 1995 DOCUMENT TYPE: Journal

Article LANGUAGE: English RECORD TYPE: Abstract Fulltext

WORD COUNT: 02102

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... better reasons for having a dealer group than to fill the seats at your daily auction. You increase the value of a dealer group when you see that each of the dealers is working to place your paper advantageously every day, providing maximum investor distribution.

Winner-takes-all bidding also destroys your ability as an issuer to control the rate at which the paper...

...liquidate its position. In a declining rate environment, the dealer may opt not to maximize trading revenues by once again offering the paper at too high a rate.

Some issuers say...

...posted, allocated" approach, each day begins with the issuer conferring, as early as possible, with each of its dealers, seeking their advice about what offered rates to post that day for the various maturities...

...must not reflect the dealers' fee the parties negotiate when the program is established.

Once all dealers have been consulted, the issuer chooses he precise rate it wants to post that day...

...post the rates as early as possible, certainly before 9:30 a.m. Without exception, every dealer must offer the paper at the same rate.

Around approximately 10:15 a.m., the issuer contacts...competitive performance over time.

Typically, once a program is seasoned (i.e., it has been trading in the market at least 6-9 months), the issuer can start reviewing the dealers

...it expects interest rates to decline in the near future and hopes to reap some trading gains.

Whatever the reasons. the result is the same: The issuer loses control over the...

...salesperson lows that on any given day an issuer will be selling paper and that all dealers will compete on a level playing field, he or she will make a greater effort...issuer, should be the driver.

Vaughn Smith is director of commercial paper and money market trading for CS First Boston Corporation, New York.

22/3,K/14 (Item 11 from file: 268)

DIALOG(R)File 268:Banking Info Source

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00253806 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Bonds

Anonymous

Euromoney, v1995, p3-9, Jan 1995 DOCUMENT TYPE: Journal Article

LANGUAGE: English RECORD TYPE: Abstract Fulltext

WORD COUNT: 04590

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...ABSTRACT: the financial system and conducts monetary policy. The

Treasury announces the amount, tenor, coupon, conditions, **auction** participants, and calendar for each issue. The post- **auction** buying and selling of government securities takes place in 2 different markets, the stock exchange...

... May 16 1988, the secondary market for Italian government securities was converted to an automatic **trading** system--the Mercato Telematico Secondario (MTS). With just 300 dealer-members, the MTS is, to...

...and conducts monetary policy. It advises the Treasury on deficit financing policy, organizes government bond **auctions** and receives bids. It monitors the secondary market and, when needed intervenes with open market...

...in the Italian primary market. At the beginning of the year, the Treasury issues an **auction** calendar, which indicates issue announcement dates, **auction** dates and settlement dates. The categories of bonds to be issued and the amounts are defined when the **auctions** are announced.

#### PRIMARY MARKET

The Treasury, through government decree published in the Gazzetta Ufficiale (Official Law Bulletin) announces the amount, tenor, coupon, conditions, **auction** participants and calendar for each issue.

Issue size is determined by the Treasury with the...for more than 50% of the issue amount.

Participants in medium- and long-term bond **auctions** submit their bids directly on an automated basis through the National Interbank Network. This procedure will shortly come into effect for BOT **auctions**, reducing **auction** risks and decreasing the time lag between bids and the announcement of results.

#### SECONDARY MARKET

The post- **auction** buying and selling of government securities takes place in two different markets.

The Stock Exchange...

...traded represents only a small share (less than 3%) of the overall volume of bond **trading**.

On-Screen Secondary Market (MTS--Mercato Telematico Secondario)

The introduction of a screen-based secondary...

...a larger group of about 250 other dealers (banks, insurance companies, brokers, and corporations).

During **trading** hours (9:00am to 5:00pm), **all** primary **dealers** are obliged to display firm bid/offer quotes on standard lots of government securities. Though...

...to the Bank of Italy which, in turn, reports daily prices (weighted average of actual **trading** prices) and volumes for each issue listed on the market. The system guarantees transparent pricing...

...are now three categories of participants in the MTS secondary market.

\* Dealers: participants who can **buy** / **sell** bonds at the prices and for the amounts quoted by primary dealers using the MTS computer system.

\* Primary dealers: participants who are required at **all** times to quote **bids** on the MTS screens and offer prices for principal government securities. Primary dealers have access...

...certain advantages:

\* they have reserved access to special placements decided by the Treasury after open **auctions** have taken place. These are currently limited to medium to long-term government bonds denominated in lira. The amount offered is 5-10% of the initial volume **auctioned**. Each specialist has the right to be awarded an amount proportional to his participation in competitive **bidding** at the three previous **auctions** for the same type of paper.

\* they can borrow cash and bonds from Bank of...



...rate is the two-week Ribor as of the first day of funding.

\* they can **buy / sell** bonds with the Bank of Italy as counterpart on their own initiative every morning by...of Issuance

BOTs are issued twice a month, at mid- and end-month, by competitive **auction** on a price basis. There is no base price. Bidders submit one or more (up...

...lists these bids in decreasing order of price and calculates the exclusion yield. If the **total** amount of competitive **bids** is less than the offered amount, the Bank of Italy takes the first half of...

...adds 150 bp to the weighted average yield to get the "exclusion yield".

If the **total** amount of competitive **bids** is greater than or equal to the offered amount, the BOI takes **all** the **bids** and applies the same mechanism as above.

Bids not excluded by the "exclusion yield" are accepted in decreasing order of price, beginning with the highest bid. **All** successive lower **bids** are accepted down to the price that just covers the amount offered for competitive tenders...

...traded on total price gross of withholding tax, (the price includes tax payments due from **trading** up to the maturity date). BOTs are almost entirely placed with retail investors. Financial institutions...

...them mainly to meet retail demand or to unwind surplus balances not placed after an **auction**. BOTs are not traded on the stock exchange market. Since September 1989 they have been traded on the on the screen-based "Telematico" market. All significant secondary **trading** occurs in the two or three days following the **auction** results since dealers make bond sales/purchases according to the positions taken.

Yield Calculation

As...

...practice to trade them on the basis of simple yield. While the average total gross **auction** price is published, BOTs are traded in the MTS market on the base of total...

...authorities have chosen to fund most of the monthly public sector borrowing requirements by bond **auctions**, while extending the average bond tenor and diversifying the categories of bonds in issuance.

Methods of Issuance

Medium- and long-term bonds are issued at a Dutch (marginal) **auction** without a base price. Bids are all settled at the same price, which corresponds to...

...are allocated. Participants may make up to three bids.

In order to prevent purely speculative **biddings**, an exclusion price is determined. Bids at lower prices will not be awarded in any...

...for 31.5%. Total market outstandings are L530.686 billion.

Since 1992, BTPs have been **auctioned** without a base price, but with an exclusion price to avoid purely speculative bids, as...issued with a seven-year maturity. The first semi-annual coupon is set at the **auction** announcement and the next semi-annual coupons are indexed to the 12-month BOT rate...

...coupons set by adding a spread to the average BOT rate resulting from the four **auctions** of the first two months of the quarter preceding the CCT coupon revision date. Since...

...investors because coupons have been indexed to BOT rates instead of Libor. However, recent CCT **auctions** have seen very strong demand from international investors. Investors arbitrage the market by buying CCTs...

...primary dealers and specialists, with new CCTs generally being quoted a few days after the **auction**. Liquidity is very good, as reflected by spreads which are generally 1-2 bp. The...

...in the domestic market.

CTEs are now issued (with no fixed schedule) through the marginal **auction** system without a base price.

The Bank of Italy is trying to develop the CTE market by making more frequent **auctions** and by including the CTEs among the categories of bonds in which specialists are required...

...the Treasury suspended CTO issuance.

CTOs can be issued twice a month, using a marginal **auction** price and with no base price.

Secondary Market

CTOs comprise approximately 4 of outstandings. Market...the underlying bond is called "general collateral" (GC). If it is mainly used as a **trading** instrument, the underlying bond is called special. The GC becomes special when, due to short...

...for GCs. The most highly traded maturities are:

\* spot (value date t+2), related to **trading** positions (about 60% of the transactions are made with this maturity).

\* One week and one...

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00245618 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Switzerland

Bischof, Thomas P; Herbez, Jean-Luc

International Financial Law Review, v1994, p64-70, Oct 1994

DOCUMENT TYPE: Journal Article LANGUAGE: English RECORD TYPE: Abstract

Fulltext

WORD COUNT: 04211

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...ABSTRACT: Switzerland. However, the cantonal laws will be superseded by the Federal Securities Exchanges and Securities **Trading** Act (SEA), which expected to come into force in 1995. The objective of the SEA...

TEXT:

...year for Swiss capital markets. On the regulatory side, a Federal Securities Exchanges and Securities **Trading** Act (Securities Exchange Act or SEA) has passed both Houses of the Swiss Parliament and...

...SSE), a private organization, will be the supporting legal entity. Migration from ring to electronic **trading** is expected to start on March 24 1995 and full operation is scheduled for May...

...1995. Technically, this system will allow incorporation of SOFFEX (Swiss Options and Financial Futures Exchange) **trading** at a later stage.

... tender offers (take-overs). However, the SEA will only cover the secondary markets, that is, **trading** on or off exchange, including secondary grey markets. At present, primary markets are largely regulated ...

...rule-making power. The exchanges will be free to choose their structure and form of **trading** and shall have the power to issue rules for

membership and listing of securities. The...

...and negotiable rights or instruments, whether or not embodied in a document, proper for mass **trading**. Thus, the definition includes, apart from traditional securities, futures, options and other derivatives, but not...

...institution or organized marketplace the purpose of which is to serve as a platform for **trading** (in SEA terms: the simultaneous exchange of offer and demand) of securities among broker-dealers...

...trades. The government may extend the act to any exchange-like institution, such as telephonic **trading** systems, or may exempt exchanges or exchange-like institutions if the purposes of the act...

...persons who render investment services for third parties, but such an investment firm's proprietary **trading** is also included in the Directive's definition of investment services. The SEA does not...

...investment firms or distributors who underwrite and/or place issues.  
The SEA will apply to **all broker-dealers**, irrespective whether they have direct access to a stock exchange or whether they act only...

...of foreign exchanges without registered offices or physical installations in Switzerland (such as foreign electronic **trading** systems). It is thus the intention to regulate cross-border **trading**, which will necessitate co-operation with foreign supervisory authorities.

According to the principle of self...submitted to the FBC for approval. The SEA allows the exchanges to choose freely their **trading** system and only requires that it be transparent and efficient. It imposes a number of...

...no provision requiring officers and directors of listed companies to disclose periodically their holdings and **trading** irrespective of those thresholds (compare US Securities Exchange Act, 1934).

#### TAKE OVER REGULATIONS

##### General

In...an independent Takeover Review Commission.

The take-over provisions of section 5 generally apply to **all public tender offers** (takeover bids) for securities of Swiss companies (target companies) the securities of which are at...

...Proposal, the SEA does not apply the requirement to other holders of securities of the **bidding** company.

Obligation to make a bid

Whoever acquires, directly, indirectly or in concert with others...

...upon any acquisition of additional shares, his holdings exceed the 50% threshold (art 51). The **bidding** price must be equivalent to the price quoted at the exchange and may not be...

...grant additional exemptions. The voting rights of a person who violates the provision on compulsory **bidding** may be suspended temporarily by court decision upon request by the FBC, the target or...

22/3,K/16 (Item 13 from file: 268)  
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00243703 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
Why are we compromising credit standards again?  
Nadler, Paul S  
Commercial Lending Review, v9, n3, p57-62, Summer 1994 DOCUMENT TYPE:

Journal Article LANGUAGE: English RECORD TYPE: Abstract Fulltext  
WORD COUNT: 02296

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... January 19, 1994), "Credit demand has been slack. During the buying binge of the 1980s, all players -- governments, businesses, households -- simply acquired too much stuff. It takes time for cars, clothes, machinery... or we'd part ways," says Coulter. "BankAmerica offers 70 different products and services, virtually all of which offer far higher profit margins than loans do."

Frederick W. Zuckerman, treasurer of IBM, which recently... the business. But being a smaller bank is far better than being a defunct bank. Matching the terms of competitors may not be the best course, even if it means loss...

22/3,K/17 (Item 14 from file: 268)  
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00028874

**Stock specialists often keep best quotes to themselves**

Steiner, Robert; Salwen, Kevin G.

Wall Street Journal, pC1, May 8, 1992 LANGUAGE: English RECORD TYPE: Abstract

...ABSTRACT: were not shown on the consolidated tape. The NYSE specialists are not required to announce all the offers. Traders on the floor can learn of all the offers, but those relying on the tape cannot. The specialists may choose not to announce a...

...a small quantity. The Securities & Exchange Commission is currently studying the relationships among various stock trading venues.

22/3,K/18 (Item 1 from file: 626)  
DIALOG(R) File 626: Bond Buyer Full Text  
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0219677

**Swamped in the Secondary: Heavy Volume Overwhelms MiniAuction**

The Bond Buyer - December 16, 1999; Pg. 1; Vol. 330, No. 30789

Word Count: 695

BYLINE:

By David Hoffman

TEXT:

...handle the crush of bids that came in at the end of the half-hour auction, said company president Myles Harrington. He said computer problems may have derailed as many as...

...interest vindicated MuniAuction's belief that there is sufficient demand for an electronic secondary market trading platform.

"Now all of a sudden there's a whole lot more players than there ever were before," Harrington said. "Investors can see what's for sale, and... beta test," and said the firm would upgrade its equipment and sponsor another secondary market auction next month.

In the meantime, however, at least one potential competitor sought to capitalize on...

...MunicipalTrade.com yesterday circulated an announcement of its plan to create an Internet secondary-market trading platform during the first quarter of 2000.

Nine separate sellers submitted 23 blocks of bonds to be sold in yesterday's auction, Harrington said. The bonds that sold were mostly straightforward triple-A rated paper in blocks...

...the securities, Harrington said.

MuniAuction had a total of 125 bidders take part in the bidding -- the most it has ever had for an electronic sale, Harrington said. About two-thirds...

...bidders or sellers.

In addition to complaints about the MuniAuction system's failure to accept all of the bids entered through its Web site, potential buyers said they were upset their efforts to place...

...Henry Fisher, president of Pittsburgh-based Commonwealth Securities and Investments Inc., said he believed electronic bidding was still the wave of the future. Fisher said his firm didn't place any...

...the bonds were unsuccessful. The broker, he said, bid with 10 minutes left in the auction, but failed to buy any bonds because the server broke down. The broker tried to...

22/3,K/19 (Item 2 from file: 626)  
DIALOG(R) File 626:Bond Buyer Full Text  
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0209681

**Electronic Bidding : The Smoke Has Yet to Clear as Three Platforms Battle It Out**

The Bond Buyer - February 3, 1999; Pg. 30; Vol. 327, No. 30571  
Word Count: 1,115

BYLINE:

By Ivan Cintron

**Electronic Bidding : The Smoke Has Yet to Clear as Three Platforms Battle It Out**

TEXT:

Since September, when Thomson Municipal Group's Dalcomp debuted its PARITY electronic bidding platform, the sector's competitive landscape has appeared to remain relatively unchanged.

Although the three major bidding platforms - PARITY, Bloomberg LP, and MuniAuction Inc.'s Web site - have worked hard to be...  
...bids, no undisputed leader has emerged.

On a few offerings, one of the three electronic bidding services has

been the sole vendor. But several municipalities are choosing to use at least...

...market familiarity with the Bloomberg and PARITY systems as reasons for using them in electronic bidding. Others, such as the state of Wisconsin, have a more inclusive process, throwing open the bidding to all three vendors in an effort to give smaller underwriters a crack at larger deals.

The largest recent issuer to go the electronic bidding route was the Los Angeles County Metropolitan Transportation Authority. The agency offered \$124.9 million...

...Bloomberg and PARITY is the MTA's preference to engage in an all-or-none bidding process. When it debuted, MuniAuction was at the center of a debate in the market over bidding practices, because it allowed underwriters to bid for individual maturities, as well as for the...  
...deal.

Myles Harrington, president of MuniAuction, is known as a proponent of maturity-by-maturity bidding, but his system does allow all-or-none bids. Still, Matsumoto wanted to stick with the tried-and-true all-or-none method because...

...price Feb. 17.

Meanwhile, New Jersey has taken a so-far unique approach to electronic bidding. It is alternating between using PARITY and Bloomberg, according to Jim Poole, acting director in the state office of public finance.

Poole said PARITY would be the sole bidding platform for an upcoming \$375 million New Jersey GO deal. In late February, Bloomberg will be the sole electronic bidding service for a \$130 million New Jersey Sports & Exposition Authority offering, he said.

Like Matsumoto...  
...it's going to take to get to where it's supposed to be."

And all three vendors will be transmitting electronic bids for a trio of upcoming Wisconsin deals, a state known...

...10.

In spite of the competition and the small number of issuers opting for electronic bidding, officials at the three vendors are heartened by the growing number of municipalities embracing the...

...by little, issuers and (financial advisers) are becoming more comfortable with the process of electronic bidding," said Cheryl Horowitz, senior vice president of sales and marketing with Thomson Municipal Group.

Horowitz...

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0208826

**3 Electronic Bidding Vendors Make Pitch for Maryland Deal**

The Bond Buyer - January 6, 1999; Pg. 1; Vol. 327, No. 30552  
Word Count: 636

BYLINE:

By Robert Whalen

**3 Electronic Bidding Vendors Make Pitch for Maryland Deal**

TEXT:

While many of the questions and concerns regarding electronic **bidding** on competitive municipal bond deals have been answered, issuers contemplating the process for the first...

...provided contact information about Cheryl Horowitz and David Landes, who developed and launched the **PARITY bidding** software about four years ago, but did not list other staff members.

Thomson cites Landes...

...distribution of underwriting documents such as notices of sale and preliminary official statements. In fact, **all three vendors offer** to post such documents on their respective systems.

Interestingly, Bloomberg claims that its top benefit...

...months. Harrington also contends that his Internet-based system - and specifically the maturity-by-maturity **bidding** option MuniAuction offers exclusively - will save issuers money by enhanced competition.

Maturity **bidding** allows underwriters to bid on selected pieces of the issue as opposed to the traditional...

...would not be able to verify that potential bidders had secured financial surety bonds - and **all vendors** agreed to make themselves available on a non-exclusive basis.

Both Bloomberg and Thomson offer...

22/3,K/21 (Item 4 from file: 626)

DIALOG(R) File 626: Bond Buyer Full Text

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0185067

**Better Interest Rates for Issuers**

The Bond Buyer - December 31, 1996; Pg. 38; Vol. 318, No. 30053  
Word Count: 361

TEXT:

Electronic **bidding** by underwriters for competitive bond issues is not new, but an element added to the...

... designed to let broker-dealers bid on parts of a bond issue rather than the **whole** thing. **Dealers** could **bid** on just the maturities their clients are seeking, or even just a single maturity.

The...

...bankrolled firms.

Larger Wall Street firms have in the past opposed this system of competitive **bidding**. In fact, they sat out last December's New Hampshire \$35 million general obligation bond...

22/3,K/22 (Item 5 from file: 626)  
DIALOG(R)File 626:Bond Buyer Full Text  
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0132790

**First Leg of Refunding Goes Well, Boosting 30-Year Bond 1/4 Point**  
The Bond Buyer - May 6, 1992; Pg. 3(659); Vol. 300, No. 28895  
Word Count: 967

BYLINE:  
By Susan Kelly

TEXT:  
...up 3/16 to yield 8%.

The \$15.02 billion of three-year notes were **auctioned** at an average rate of 5.96% and will bear a 5 7/8% coupon...

...small investors, totaled \$1.007 billion, up from \$839 million in February. The ratio of **total bids** to the size of the issue was 2.49-to-1, up from 1.96-to-1 in February.

Traders said the **auction** statistics matched market expectations. Once the **auction** results were announced, prices began to improve as buyers showed up at the short end, they said.

A note trader speculated retail investors who were wary of a bad **auction** had decided to buy after seeing the results. But a bill trader said the buying...

...had risen sufficiently to push the yield down to 5.91% from the 5.96% **auction** average.

Even though the first leg of the quarterly refunding went well, traders and analysts...

...likely to present problems for the market.

"The fact we got an improvement in post- **auction** **trading** today has injected a dose of confidence into the market going into the 10-year...

...trickiest maturity of the three."

"The specter of Friday's employment report will weigh on **bidding** for the 10s and 30s," Mr. Karydakakis added.

The April employment data, which usually set...

...market's direction for the month, will not be released until Friday, after the refunding **auctions** are **complete**. Many **traders** say retail investors will stay on the sidelines at today and tomorrow's **auctions**, leaving the Street to hold



the  
10-year and 30-year notes going into the...

...77%,  
and the year bill two basis points lower at 4.06%.

In when-issued trading , the 10-year note to be sold today was bid at 7.51%, down from...

22/3,K/23 (Item 6 from file: 626)  
DIALOG(R)File 626:Bond Buyer Full Text  
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0127085

**Did Primary Dealers Shun Note Auction To Protest the New Treasury Bid Rules?**

MuniWeek - November 18, 1991; Pg. 34; Vol. 3, No. 47  
Word Count: 316

BYLINE:

By Stephen A. Davies and Susan Kelly

**Did Primary Dealers Shun Note Auction To Protest the New Treasury Bid Rules?**

TEXT:

...to find out if  
primary dealers on Wall Street colluded to protest the new Treasury  
bidding rules by shunning the three-year note auction two weeks ago.

The House Energy and Commerce Subcommittee on Telecommunications and Finance, chaired by Rep. Edward Markey, D-Mass., has sent letters to all 39 dealers asking them to detail their bidding strategy and related activities in connection with the sale. Responses to the panel were due Friday.

The three-year auction held Nov. 5 went badly, rattling the bond market. Treasury got only \$21.7 billion of bids for the \$14 billion offering, the lowest total volume in bids for a three-year note auction in 13 years. The average yield came out at 6.00%, which was higher than...

...well reflect some type of  
'protest' by primary dealers against the Treasury Department's new auction rules," Mr. Markey said in his letter to the dealers.

The Massachusetts Democrat asked each dealer to state the size of the firm's bid for the auction and to compare that with the firm's average bid over the last year in Treasury auctions , and with the firm's "market share in the government securities market."

Each dealer was...

...whether the bid was in  
any way "a protest, coordinated or otherwise," against the new auction rules.

Dealers were asked to discuss all contacts with Treasury over the new auction procedures.

Search Report from Ginger D. Roberts

The Treasury adopted the rules after the Salomon Brothers Inc. **bidding** scandal erupted and brought losses to several dealers and complaints in Congress that the old...

...Markey's request, but denied that any collusion or protest had occurred at the note **auction**.

22/3,K/24 (Item 7 from file: 626)  
DIALOG(R)File 626:Bond Buyer Full Text  
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0127042

**Did Primary Dealers Shun Note Auction To Protest the New Treasury Bid Rules?**

The Bond Buyer - November 15, 1991; Pg. 1(929); Vol. 298, No. 28777  
Word Count: 678

BYLINE:

By Stephen A. Davies and Susan Kelly

**Did Primary Dealers Shun Note Auction To Protest the New Treasury Bid Rules?**

TEXT:

...to find out if primary dealers on Wall Street colluded to protest the new Treasury **bidding** rules by shunning last week's three-year note **auction**.

The House Energy and Commerce Subcommittee on Telecommunications and Finance, chaired by Rep. Edward Markey, D-Mass., has sent letters to all 39 **dealers** asking them to detail their **bidding** strategy and related activities in connection with the sale. Responses to the panel are due today.

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The Massachusetts Democrat asked each dealer to state the size of the firm's bid for the **auction** and to compare that with the firm's average bid over the last year in Treasury **auctions**, and with the firm's "market share in the government securities market."

Each dealer was...

...whether the bid was in any way "a protest, coordinated or otherwise," against the new **auction** rules.

Dealer were asked to summarize any contacts between employees of the firm with other...

...In addition, the dealers were asked to summarize all contacts with Treasury over the new **auction** procedures.

Search Report from Ginger D. Roberts

Treasury adopted the new rules after the Salomon Brothers Inc. **bidding** scandal erupted and brought losses to several dealers and complaints in Congress that the old...

...Markey's request, but denied that any collusion or protest had occurred at the note **auction**.

An officer of one primary dealership questioned why Rep. Markey bothered asking dealers.

"The government...  
...Tenders are the formal bids for Treasury securities dealers submit to the Federal Reserve at **auctions**.

The officer said it was natural that participants bid cautiously as they tried to assess...

...the rule changes.

On Oct. 25, the Treasury said starting with the three-year sale **all** broker- **dealers** registered with the Securities and Exchange Commission could submit bids for customers at Treasury **auctions**. Previously only primary dealers and depository institutions could do so.

The Treasury also increased the...

...before the three-year sale, it would wait until the week's cycle of refunding **auctions** was over. Instead, the Fed surprised everyone by easing the discount rate and the funds rate the day following the three-year **auction**.

"There is a third factor, which is that dealers are not talking to each other...

...between dealers increases the uncertainty factor and makes it more difficult to be precise" in **bidding** at **auctions**.

Mr. Swanborn said his firm felt the rule changes ultimately will benefit the Treasury market.

22/3,K/25 (Item 8 from file: 626)  
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0125651  
Insurers Approach Technology Creatively To Enhance Both New and Old  
Businesses  
The Bond Buyer - October 7, 1991; Pg. 6A; Vol. 298, No. 28748  
Word Count: 3,277

BYLINE:  
By NICHOLAS BOYLE

TEXT:  
...The bond insurer deposits a surety bond with the trustee, guaranteeing the issuer funds from **all** **dealers** and underwriters who want to participate.  
Behold the Fax

Search Report from Ginger D. Roberts

As more underwriters sign on by...

...agreement with the bidder, the bond insurer sends out a weekly calendar of issues with all the Sure-Bid qualified deals. Bidders

are also supplied with a prepared request form.

"All they have to...agreements, ensuring both safety and liquidity.

The technology employed is the most up-to-date trading screens; the strategy is simply "plain, simple hard work," said Tom O'Connor, managing partner...investment loss, either we have to cut services or raise taxes," she added.

Beyond the matching of up-to-date trading techniques with less sophisticated municipalities, CLASS needed creative legislative thinking to get off the ground...

...local laws is that the new "cooperative" must sign off on Gabelli O'Connor's trading decisions. This, too, has been smoothed out through appointing a representative of the communities' board ...

22/3,K/26 (Item 9 from file: 626)  
DIALOG(R)File 626:Bond Buyer Full Text  
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0065830

Hopes for Further Oil Price Drops, Good Inflation News Extend Rally  
The Bond Buyer - March 26, 1986; Pg. 3(1215); Vol. 275, No. 27349  
Word Count: 854

BYLINE:  
By John J. Duffy

TEXT:

...Long-term U.S. government issues wound up about 3/8 point higher after a trading session that traders said was brisk in the morning but lackluster in the afternoon. Dealers...

...8.43% at the previous four-year sale in December and the lowest on such auctions since a 6.84% yield on Sept. 7, 1977.

Despite the sharply lower yield, investors bid strongly for the new notes.

Total bids amounted to \$26.75 billion, or 3.82 times the amount of securities awarded by the Treasury. Bidding also was very aggressive, as the Treasury was able to sell all of the securities...

...of 7.29%.

Late in the day, the new issue was quoted in when-issued trading at 7.26%.

In advance of today's auction of \$6.5 billion seven-year notes, that issue was quoted yesterday at 7.52...

Search Report from Ginger D. Roberts

...on the economy - such as yesterday's consumer price index and durable goods numbers - are all but overlooked by traders .

"People have not been trading on economic data," said Wayne Wong, a managing director and bond portfolio manager at the...

...for the few noncallable corporates available and for U.S. Treasury issues. In secondary market trading , while all current-coupon Treasury issues have soared to substantial premiums above par in response...

22/3,K/27 (Item 10 from file: 626)  
DIALOG(R)File 626:Bond Buyer Full Text  
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0065675

Bonds Decline Slightly as Investors Await Clues to Oil Prices, Economy  
The Bond Buyer - March 20, 1986; Pg. 3(1115); Vol. 275, No. 27345  
Word Count: 648

BYLINE:

By John J. Duffy

TEXT:

U.S. Treasury bond prices slumped in light trading yesterday as many dealers and investors moved to the sidelines to await fresh clues to...

...and personal consumption spending for February. Analysts are predicting increases of roughly 0.4% for each indicator.

Government securities dealers said investors showed little initial interest yesterday in the \$13.5 billion end-of-quarter...

...next Tuesday and \$6.5 billion of seven-year notes next Thursday. In when-issued trading late yesterday, the four-year issue was quoted at 7.36% while the seven-year issue was quoted at 7.67% - both up slightly for the day.

The Treasury yesterday auctioned \$9.5 billion of two-year notes at the lowest yield in more than eight...

... lowest on such issues since November 1977. Investor interest in the issue was moderate, with total bids amounting to \$21.8 billion.

Dealers said that much of the downward pressure on bond...

...from very heavy selling by Japanese investors in Tokyo before the start of New York trading . Much of the selling was reported to be from Japanese securities firms and banks attempting...

...the federal funds rate. Funds slipped to a low of 7 1/4% yesterday, after trading at an average of 7.55% on Tuesday.

In the Treasury bill market yesterday, traders...

22/3,K/28 (Item 11 from file: 626)

Search Report from Ginger D. Roberts

DIALOG(R)File 626:Bond Buyer Full Text  
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0060004

**Tax Bill Leads Banks To Bid for Municipals At Taxable Note Rates**

The Bond Buyer - January 16, 1986, Thursday; Pg. 1

Word Count: 841

BYLINE:

By Joe Mysak

TEXT:

... it can sell easily and will have to position in its portfolio, we've been **bidding** a corporate rate, something approaching the federal funds rate," said Howard J. Salend, vice president...

... Investment Bank and chairman of the Public Securities Association's municipal securities division, said the **bidding** was "indicative of the mess Washington has made of the market."

"A lot of people...

... would end their deductions for costs incurred to purchase or carry tax-exempt bonds.

Not **all** the banks who **bid** the premium rates have been successful, and many bankers who said they recently bid at a corporate rate found they were losing business to other dealers who were **bidding** at lower rates. Several bankers said they were willing to bid at lower rates "and...

... have been sweeping the market that certain large banks or investment banking firms were not **bidding** at all on new issues, or **bidding** selectively because of inadequate disclosure by issuers.

Richard A. Schober, head of the public finance...

...of the uncertainties surrounding the tax bill.

Jon L. Van Valkenburg, senior vice president of **trading** and underwriting at Norwest Investment Services Inc. in Minneapolis, said Norwest bid for several note...

... counsel, we no longer arbitrarily bid at the higher rate, or just not bid at **all**, as some **dealers** have apparently decided," Mr. Van Valkenburg said. "If we feel notes will meet the existing...

22/3,K/29 (Item 12 from file: 626)

DIALOG(R)File 626:Bond Buyer Full Text

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0049076

**Investor Demand for New Notes Fails to Stabilize Interest Rates**

The Bond Buyer - March 28, 1985, Thursday; Pg. 3

Word Count: 619

BYLINE:

By John J. Duffy

TEXT:

... government securities dealers reacted cautiously to a new Treasury 7-year note offering. In late **trading**, most short-term rates were slightly lower for the day while yields for most long-term bonds were higher.

Search Report from Ginger D. Roberts

The government's **auction** of \$5.75 billion 7-year notes, due April 15, 1992, produced an average yield...

...was up from a 11.67% average at the Treasury's previous 7-year note **auction** in early January, and slightly higher than where some traders were estimating the issue might...

... moderately good, but not quite as strong as for Tuesday's 4-year note issue. **Total bids** submitted amounted to \$16 billion, up from 12.13 billion in January. In late **trading** yesterday, the notes improved enough in price to reduce their yield to 11.82%.

Yesterday's **auction** was the second leg of the \$16.25 billion three-part financing package that the...

... 25 billion 20-year, 1-month bonds. That issue was being quoted in when-issued **trading** at a yield of 12.08%, up from 12.06% a day earlier.

Traders said...

...on six-month bills were bid at 8.76%, down from 8.82% in late **trading** Tuesday.

Short-term rates also reacted positively yesterday to comments from Federal Reserve Board Governor...

... an increase of roughly \$500 million. Although such an increase would leave the M1 monetary **aggregate** far above target, **dealers** said it would add credence to the view that its growth rate is slowing.

Treasury...

22/3,K/30 (Item 1 from file: 267)  
DIALOG(R)File 267:Finance & Banking Newsletters  
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04562111

Special Feature - Nasdaq's Supermontage Joins the Great Game: No longer just a scorekeeper, a transformed Nasdaq could be a star player in theSuper Bowl of trading

Peter Chapman

Traders

February 1,2000 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH

WORD COUNT: 2293

RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

... just a scorekeeper, a transformed Nasdaq could be a star player in theSuper Bowl of trading

...communications network (ECN). Nasdaq will cease to be a mere facilitator of dealer-to-dealer **trading** and become an execution mechanism in its own right.

Currently, Nasdaq operates mostly on the...

TEXT:

...communications network (ECN). Nasdaq will cease to be a mere facilitator of dealer-to-dealer **trading** and become an execution mechanism in its own right.

Currently, Nasdaq operates mostly on the...

...maker or ECN."

At the heart of the Nasdaq proposal is an ECN-like order **matching** mechanism called the "Order Collector Facility." The OCF will do two things. Firstly, it will...

...another. Now, Nasdaq is in the middle. And unlike the present machine gun method of **trading** whereby orders randomly "sweep the Street," all orders will be matched on the basis of...

...ability of market makers to display agency and anonymous orders.

Much of Nasdaq's new **trading** philosophy can be attributed to its adoption in 1997 of the SEC's Order Handling...not want their quotes to compete with those of "outsiders" for order flow on a **trading** system sanctioned by Nasdaq.

Nasdaq has apparently shelved this plan to install a CLOB alongside...principal at Bernard L. Madoff Investment Securities and head of the Security Industry Association's **Trading** Committee. "It gives you the convenience and efficiency of executing orders by sending them to...

...market participants is created or even perceived."

As a practical matter, the essence of Nasdaq **trading** will not change much, say market makers. Dealers and ECNs will still trade with dealers... automatically against a central limit order file operated by Nasdaq. You can take out the **entire bid**. It will be easier and faster."

Nasdaq decided to limit the montage display to three...This feature would put Nasdaq in direct competition with ECNs that specialize in anonymously representing **trading** interest[s]," Smith protested.

ECNs also accuse Nasdaq of attempting to relegate them to the...

...said.

Still, Brooks is optimistic the supermontage will help find liquidity spread out over several **trading** venues. Finding these pools of liquidity is an ongoing problem for institutional traders.

Small Step at the firm's **trading** desk. Bokach wants to see all orders enter into the new system so he will...

...Book -

Whether for or against the supermontage, many traders are still leery of a solitary **trading** site for Nasdaq stocks. American Century advised the SEC in its comment letter to see...

...The STA chairman King notes that the system is voluntary. "They can't create a **complete** monopoly," he said. "**Traders** are free to use other exchanges like Island if it achieves exchange status."

Aldo Parcesepe...

...COMPANY NAMES (DIALOG GENERATED): Stock Exchange ; ECNs ; Knight/Trimark Group ; Robinson Humphrey Company ; Security Industry Association ; Security Traders Association ; **Trading** Committee ; UTP

22/3,K/31 (Item 2 from file: 267)  
DIALOG(R)File 267:Finance & Banking Newsletters  
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04547167

SWAPS, AT&T super jumbo opens the floodgates as issuers return to dollar market in force

Euroweek

March 26, 1999 PAGE: 067 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: EUROMONEY ELECTRONIC PUBLICATIONS

LANGUAGE: ENGLISH

WORD COUNT: 1518

RECORD TYPE: FULLTEXT

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Search Report from Ginger D. Roberts

TEXT:

...swap spreads were offered at 80bp once more - at the top end of their recent trading range. The mid-market of five year swaps was about 65bp, while three years was...

...against Serbian armed forces firmed up the bid once more.

The 10 year Treasury was trading at 3.5% in overnight repo at the beginning of the week, said swap dealers...  
...swap into floating at Libor plus 26-29bp, or somewhere in the 30s over Libor all -in.

Once again, dealers thought it likely that Citi had swapped the proceeds into floating in-house, but a...dealers thought it very likely that the bonds had been swapped. "The market has been trading like it was swapped. The two year has continued to soften up," said a New...for the borrower. The bonds yield 12bp to the 6% 2006 Bund, or 17bp over all -in.

With swap bids around 30bp, this suggests about Euribor less one eighth. The spokesman declined to confirm the...

22/3,K/32 (Item 3 from file: 267)  
DIALOG(R)File 267:Finance & Banking Newsletters  
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00026605

**Macho Men**

Investment Dealers' Digest

June 16, 1997 VOL: 63 ISSUE: 24 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: INVESTMENT DEALERS DIGEST

LANGUAGE: ENGLISH WORD COUNT: 3424 RECORD TYPE: FULLTEXT

(c) INVESTMENT DEALERS DIGEST All Rts. Reserv.

Block trading has never been bigger, or scarier, as insiders acknowledge that some firm may well become...

TEXT:

Block trading has never been bigger, or scarier, as insiders acknowledge that some firm may well become "the last fool"

by Gregg Wirth

It is early afternoon, May 21, and a bidding drama is rapidly reaching a conclusion on syndicate desks at a handful of Wall Street's biggest trading firms. Hours earlier, each submitted a bid to win the right to execute one of the biggest block trades of recent years...

...what has become the most macho game on Wall Street.

At the desk of one trading chief (who insists on anonymity for himself and his firm), the atmosphere is loaded with...

...Sachs has a lot to brag about these days in the insular world of block trading. Just one week prior to the USAir deal, it nailed the biggest block trade of...

...Petroleum Co. stock for the government of Kuwait. That deal, in one stroke, pushed block trading into the limelight once again, raised the stakes for everyone, and underlined just how risky...  
...s courage to do blocks," explains David Rogers, a managing director and

head of equities **trading** at Goldman Sachs. "You will definitely see some more of these."

Though Goldman and Salomon...market conditions and capital inflow levels are ideal for big block deals. And, because block **trading** can be the most efficient, speedy, and lucrative method of transferring ownership of stock for...

...enormous amounts of risk," says Michael Clark, managing director and head of U.S. equity **trading** at Credit Suisse First Boston. "You better be right eight out of ten times, because..."

...just better not be wrong."

Because the margin for error is so wafer-thin, virtually all block **traders** concede that it is but a matter of time before a **trading** firm either misjudges the institutional appetite for a stock, or picks a day when the...

...become less prevalent or disappear.

How does it work?

On the face of it, block **trading** seems relatively easy. An investment bank buys a block of stock from ...trade can raise havoc with a company's shares, especially if it occurs during the **trading** day (most big blocks are executed after hours). That's what happened with the USAir...

...trade swamped its shares, dropping them more than 10% in the first few hours of **trading**. Although Goldman will not ...USAir shares at \$34.50, a discount to the \$37 range in which USAir was **trading** when the block was purchased. The resale price is unknown, but many observers speculate that ...

...nature of the underlying stock," says Tim Heekin, managing director and head of global cash **trading** at Salomon. "In [the case of] USAir, the airline industry has been tricky and volatile..."

...of the block compared to the company's overall public float, and the amount of **trading** a stock normally does.

"There is actually more risk in a \$100 million block trade..."

...of the day, it's about risk tolerance-that's the true definition of block **trading**."

Some players believe that block **trading** is slowly assuming a new role: permanent fixture in the markets. "Like universal shelf registrations in debt **trading**, block **trading** may become a permanent part of the equity landscape," says Solly's Fitzgerald. That may...

...for investors and issuers, but a mixed blessing for investment banks, which fret that block **trading** could cannibalize their more lucrative underwriting roles.

In Salomon's \$250 million block trade in...

...a more traditional equity offering.

"It already is happening," says Louis Bellucci, head of block **trading** at Jefferies & Co. "Some deals are roadshowed, but don't make it to the finish ...large third-party deals are usually done by people who have a keen interest in **trading** quickly," says Rogers. "It's the Carl Icahns selling RJ Reynolds, or British Airways selling..."

...be done with it."

A history built on contradiction

Though most observers contend that block **trading**, in some form, has always existed alongside traditional equity **trading**, the size and volume of block trades have always been tied to the strength of...

...into mutual funds and other institutional buyers inflate assets under management, the buyers' desire to **buy** and **sell** larger portions of their portfolios grows. However, because the liquidity of the secondary market isn...

...by Goldman, Salomon, and to a lesser extent-Shearson Lehman Brothers and Merrill Lynch, block **trading** began increasingly in the 1960s and 1970s to provide liquidity to mutual funds and other...

...s Gus Levy and Bob Mnuchin, regarded even by rivals as the fathers of block **trading**, created and refined a system in which the investment bank would buy the blocks of...

...block traders Jay Perry and, later, Stanley Shopkorn. Under Shopkorn, Solly grew to dominate block **trading**, several sources explain. "Shopkorn had this tactic of accumulating big blocks of stock, shelving them ground to Goldman on the block **trading** circuit, several industry insiders say. Indeed, of the big megablock trades of this past year...

...Reportedly, the shake-up was at least partially caused by the firm's lackluster block **trading** year. Both Heekin and Fitzgerald deny this.]

By the late 1970s and early 1980s, derivative **trading** entered the picture. That created another need for block **trading**: moving the large underlying stock holdings used by hedge funds and institutions for indexes, options...

...and equity options all expire on the same day-often see a surge in block **trading**.

"Prior to these dates, [there is] a huge volume of stock trades as people unwind their positions, **trading** the stock underlying the options or indexes," explains Doug Myers, head of block **trading** at Interstate/Johnson Lane.

However, the most attention-getting and risky of the block **trading** gambits-the third-party sales-are also the most cyclical. In times of a rabid...

---

...Icahn, were done before 1997.

Slippery stats

There are a variety of definitions of block **trading**, and diverse opinions on what size and risk parameters actually constitute a block-trade transaction (see sidebar).

That makes it difficult to gather meaningful data on how much block **trading** is done on exchanges, and by which investment banks. Using its own definitions, the New...

...for 1996-or an average of more than 45,000 block trades per week.

Block **trading** has been growing on the NYSE every year since 1990, when there were 843,365...

...1990-1996 period, block trades grew in number by about 178%. As a percent of **trading** volume, block **trading** has grown to 55.9% in 1996 from 49.6% in 1990.

At the Nasdaq, meanwhile, block **trading** volume nearly tripled in the 1990-1996 period. In 1996 alone, the Nasdaq featured 2...

...Merrill's Time Warner trade, for instance. Indeed, an Autex listing of the top block **trading** firms for this year places Salomon and Goldman in fifth and sixth place, respectively.

Both firms strongly dispute the rankings.

There are other statistical headaches. Because block **trading** is used to describe such a wide variety of transactions, it's hard to get "the right benchmark of how much block **trading** accounts for," says one trader. And while the blockbuster trades get the headlines, they represent only a

Search Report from Ginger D. Roberts

relatively small percentage of overall block trading volume-much of which is done in the form of agency trading , or providing liquidity for mutual funds' portfolio restructuring-often called facilitation trading .

Looking ahead

Goldman's Silfen contends-though others are less supportive of the theory-that globalization of the equity markets is and will continue to be a key to block trading .

"Globalization is the big story," Silfen says. "Buyers and sellers are coming from the U.K., Europe, Asia, Japan and Latin America. The business is not just matching up American buyers and sellers anymore." The BP block trade, for example, was sold in...

...assets under management industry-wide has quintupled, generating the need for a tremendous amount of trading volume," says CSFB's Clark.

"Block trading is much more important now."

Where does it go from here? According to many insiders...

...depend on the market. If capital inflows remain high and keep driving investor appetite, block trading -including the highly risky third-party trading -will remain a fixture on the equity scene.

If that environment changes, sources predict, the...

?

00830745

MAPP'S INTERNET TRADING SYSTEM AIMS TO INCLUDE TRANSMISSION & POWER DEALS

Power Markets Week January 20, 1997; Pg 5; Vol. 24, No. 3

Journal Code: PMW

ISSN: 1078-9820

Section Heading: MARKETPLACE

Word Count: 653 \*Full text available in Formats 5, 7 and 9\*

TEXT:

... optimal buyers and sellers. It then registers all transactions created in the matching process.

The `` auction market'' is for sellers willing to spend the time to extract a higher price for their energy products. The bids are visible to all traders who may subsequently place counteroffers. The auctioneer can view the bids as they come in, selecting the best one or ignoring them all.

All...

2/3,K/4 (Item 1 from file: 757)

DIALOG(R)File 757:Mirror Publications/Independent Newspapers

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00443098 698125849 (USE FORMAT 7 FOR FULLTEXT)

Survivor Nick wins.

South Wales Echo

Wednesday, August 29, 2001

JOURNAL CODE: MSW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSPAPER

WORD COUNT: 147

...Mike Laird, from TV's Castaway, who successfully bid for a sofa provided by Furnitureland.

All traders on the retail park donated prizes for the auction , including a microwave, shower unit and pet hampers.

Paul Clargo, general branch manager of Furnitureland, said:

"Everyone got involved...

?

File 15:ABI/Inform(R) 1971-2001/Sep 04  
     (c) 2001 ProQuest Info&Learning  
 File 9:Business & Industry(R) Jul/1994-2001/Aug 31  
     (c) 2001 Resp. DB Svcs.  
 File 623:Business Week 1985-2001/Aug W4  
     (c) 2001 The McGraw-Hill Companies Inc  
 File 810:Business Wire 1986-1999/Feb 28  
     (c) 1999 Business Wire  
 File 275:Gale Group Computer DB(TM) 1983-2001/Aug 30  
     (c) 2001 The Gale Group  
 File 624:McGraw-Hill Publications 1985-2001/Sep 03  
     (c) 2001 McGraw-Hill Co. Inc  
 File 636:Gale Group Newsletter DB(TM) 1987-2001/Aug 31  
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 File 621:Gale Group New Prod.Annou.(R) 1985-2001/Aug 31  
     (c) 2001 The Gale Group  
 File 813:PR Newswire 1987-1999/Apr 30  
     (c) 1999 PR Newswire Association Inc  
 File 16:Gale Group PROMT(R) 1990-2001/Aug 31  
     (c) 2001 The Gale Group  
 File 160:Gale Group PROMT(R) 1972-1989  
     (c) 1999 The Gale Group  
 File 148:Gale Group Trade & Industry DB 1976-2001/Aug 31  
     (c)2001 The Gale Group  
 File 20:World Reporter 1997-2001/Sep 04  
     (c) 2001 The Dialog Corporation  
 File 634:San Jose Mercury Jun 1985-2001/Aug 29  
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 File 625:American Banker Publications 1981-2001/Sep 04  
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 File 268:Banking Info Source 1981-2001/Aug W3  
     (c) 2001 ProQuest Info&Learning  
 File 626:Bond Buyer Full Text 1981-2001/Sep 04  
     (c) 2001 Bond Buyer  
 File 267:Finance & Banking Newsletters 2001/Sep 04  
     (c) 2001 The Dialog Corp.

Set	Items	Description
S1	482193	(STACK? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTIPL?) (2N) (- BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR ORDER? OR - BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR - SOLD OR SALE? OR PURCHAS?)
S2	13696	S1(2N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR RANG? OR DEGREE? OR MAGNITUD?)
S3	240	S2(5N) (PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPRES- ENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR VISUAL? OR MNEMONIC? OR GLYPH?)
S4	254	S2(5N) (AXIS OR ICON? OR IKON? OR GRAPHIC? OR CHART? OR DIA- GRAM? OR DRAW? OR PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR TABLE? OR T- ABULAR? OR VISUAL?)
S5	0	(S3 OR S4) (10N) (GUI OR GUIS OR (GRAPHICAL()USER OR MENU?()- DRIVEN) ()INTERFACE?)
S6	0	(S3 OR S4) (S) (GUI OR GUIS OR (GRAPHICAL()USER OR MENU?()- DRIVEN) ()INTERFACE?)
S7	2	(S3 OR S4) AND (GUI OR GUIS OR ((GRAPHICAL()USER OR MENU?(- )DRIVEN) ()INTERFACE?))

File 15:ABI/Inform(R) 1971-2001/Sep 04  
(c) 2001 ProQuest Info&Learning  
File 9:Business & Industry(R) Jul/1994-2001/Aug 31  
(c) 2001 Resp. DB Svcs.  
File 623:Business Week 1985-2001/Aug W4  
(c) 2001 The McGraw-Hill Companies Inc  
File 810:Business Wire 1986-1999/Feb 28  
(c) 1999 Business Wire  
File 275:Gale Group Computer DB(TM) 1983-2001/Aug 30  
(c) 2001 The Gale Group  
File 624:McGraw-Hill Publications 1985-2001/Sep 03  
(c) 2001 McGraw-Hill Co. Inc  
File 636:Gale Group Newsletter DB(TM) 1987-2001/Aug 31  
(c) 2001 The Gale Group  
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(c) 2001 The Gale Group  
File 813:PR Newswire 1987-1999/Apr 30  
(c) 1999 PR Newswire Association Inc  
File 16:Gale Group PROMT(R) 1990-2001/Aug 31  
(c) 2001 The Gale Group  
File 160:Gale Group PROMT(R) 1972-1989  
(c) 1999 The Gale Group  
File 148:Gale Group Trade & Industry DB 1976-2001/Aug 31  
(c)2001 The Gale Group  
File 20:World Reporter 1997-2001/Sep 04  
(c) 2001 The Dialog Corporation  
File 625:American Banker Publications 1981-2001/Sep 04  
(c) 2001 American Banker  
File 268:Banking Info Source 1981-2001/Aug W3  
(c) 2001 ProQuest Info&Learning  
File 626:Bond Buyer Full Text 1981-2001/Sep 04  
(c) 2001 Bond Buyer  
File 267:Finance & Banking Newsletters 2001/Sep 04  
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Set	Items	Description
S1	480542	(STACK? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTIPL?)(2N)(- BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR ORDER? OR - BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR - SOLD OR SALE? OR PURCHAS?)
S2	13665	S1(2N)(VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR RANG? OR DEGREE? OR MAGNITUD?)
S3	10	S2(S)(GUI OR GUIS OR ((GRAPHICAL()USER OR MENU?() DRIVEN) (- )INTERFACE?))
S4	6	RD (unique items)

File 15:ABI/Inform(R) 1971-2001/Sep 04  
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 File 9:Business & Industry(R) Jul/1994-2001/Aug 31  
     (c) 2001 Resp. DB Svcs.  
 File 623:Business Week 1985-2001/Aug W4  
     (c) 2001 The McGraw-Hill Companies Inc  
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     (c) 1999 Business Wire  
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     (c) 2001 The Gale Group  
 File 624:McGraw-Hill Publications 1985-2001/Sep 03  
     (c) 2001 McGraw-Hill Co. Inc  
 File 636:Gale Group Newsletter DB(TM) 1987-2001/Aug 31  
     (c) 2001 The Gale Group  
 File 621:Gale Group New Prod.Annou.(R) 1985-2001/Aug 31  
     (c) 2001 The Gale Group  
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Set	Items	Description
S1	480542	(STACK? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTIPL?) (2N) (- BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR ORDER? OR - BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR - SOLD OR SALE? OR PURCHAS?)
S2	13665	S1(2N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR RANG? OR DEGREE? OR MAGNITUD?)
S3	10	S2(S) (GUI OR GUIS OR ((GRAPHICAL()USER OR MENU?() DRIVEN) (- )INTERFACE?))
S4	6	RD (unique items)
S5	392	S2(10N) (PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPRES- ENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR VISUAL? OR MNEMONIC? OR GLYPH?)
S6	445	S2(10N) (AXIS OR ICON? OR IKON? OR GRAPHIC? OR CHART? OR DI- AGRAM? OR DRAW? OR PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? - OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR TABLE? OR TABULAR? OR VISUAL?)
S7	56	(S5 OR S6) (S) (REALTIME? OR REAL()TIME? OR CURRENT? OR NOW - OR PRESENT? OR IMMEDIA? OR ACTUAL? OR UPTODATE OR (UP() 'TO' () - DATE) OR UPTOTHEMINUTE OR (UP() 'TO' () 'THE' ()MINUTE) OR INSTAN- T? OR PROMPT? OR DYNAMIC? OR LIVE?)
S8	39	RD (unique items)



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Set	Items	Description
S1	480542	(STACK? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTIPL?) (2N) (- BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR ORDER? OR - BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR - SOLD OR SALE? OR PURCHAS?)
S2	13665	S1(2N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR RANG? OR DEGREE? OR MAGNITUD?)
S3	10	S2(S) (GUI OR GUIS OR ((GRAPHICAL()USER OR MENU?() DRIVEN) (- )INTERFACE?))
S4	6	RD (unique items)
S5	392	S2(10N) (PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPRE- SENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR VISUAL? OR MNEMONIC? OR GLYPH?)
S6	445	S2(10N) (AXIS OR ICON? OR IKON? OR GRAPHIC? OR CHART? OR DI- AGRAM? OR DRAW? OR PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? - OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR TABLE? OR TABULAR? OR VISUAL?)
S7	56	(S5 OR S6) (S) (REALTIME? OR REAL()TIME? OR CURRENT? OR NOW - OR PRESENT? OR IMMEDIA? OR ACTUAL? OR UPTODATE OR (UP() 'TO' () - DATE) OR UPTOTHEMINUTE OR (UP() 'TO' () 'THE' ()MINUTE) OR INSTAN- T? OR PROMPT? OR DYNAMIC? OR LIVE?)
S8	39	RD (unique items)
S9	1220944	(STACK? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTIPL?) (10N) - (BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR ORDER? OR BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR - SOLD OR SALE? OR PURCHAS?)
S10	101131	S9(10N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? OR RANG? OR DEGREE? OR MAGNITUD?)
S11	4346	S10(10N) (PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPR- ESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABL- E? OR TABULAR? OR VISUAL? OR MNEMONIC? OR GLYPH?)
S12	5105	S10(10N) (AXIS OR ICON? OR IKON? OR GRAPHIC? OR CHART? OR D-

IAGRAM? OR DRAW? OR PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR TABLE? OR TABULAR? OR VISUAL?)  
 S13 1216 (S11 OR S12) (S) (REALTIME? OR REAL()TIME? OR CURRENT? OR NOW OR PRESENT? OR IMMEDIA? OR ACTUAL? OR UPTODATE OR (UP() 'TO' (-)DATE) OR UPTOTHEMINUTE OR (UP() 'TO' () 'THE' ()MINUTE) OR INSTANT? OR PROMPT? OR DYNAMIC? OR LIVE?)  
 S14 24 S13(S) (GUI OR GUIS OR ((GRAPHICAL()USER OR MENU?() DRIVEN)-()INTERFACE?))  
 S15 13 RD (unique items)

File 15:ABI/Inform(R) 1971-2001/Sep 04  
     (c) 2001 ProQuest Info&Learning  
 File 9:Business & Industry(R) Jul/1994-2001/Aug 31  
     (c) 2001 Resp. DB Svcs.  
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Set	Items	Description
S1	480542	(STACK? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTIPL?) (2N) (- BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR ORDER? OR - BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR - SOLD OR SALE? OR PURCHAS?)
S2	13665	S1(2N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR RANG? OR DEGREE? OR MAGNITUD?)
S3	10	S2(S) (GUI OR GUIS OR ((GRAPHICAL()USER OR MENU?() DRIVEN) (- )INTERFACE?))
S4	6	RD (unique items)
S5	392	S2(10N) (PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPRES- ENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR VISUAL? OR MNEMONIC? OR GLYPH?)
S6	445	S2(10N) (AXIS OR ICON? OR IKON? OR GRAPHIC? OR CHART? OR DI- AGRAM? OR DRAW? OR PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? - OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR TABLE? OR TABULAR? OR VISUAL?)
S7	56	(S5 OR S6) (S) (REALTIME? OR REAL()TIME? OR CURRENT? OR NOW - OR PRESENT? OR IMMEDIA? OR ACTUAL? OR UPTODATE OR (UP() 'TO' () - DATE) OR UPTOTHEMINUTE OR (UP() 'TO' () 'THE' ()MINUTE) OR INSTAN- T? OR PROMPT? OR DYNAMIC? OR LIVE?)
S8	39	RD (unique items)
S9	1220944	(STACK? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTIPL?) (10N) - (BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR ORDER? OR BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR - SOLD OR SALE? OR PURCHAS?)
S10	101131	S9(10N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? OR RANG? OR DEGREE? OR MAGNITUD?)
S11	4346	S10(10N) (PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPR- ESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABL- E? OR TABULAR? OR VISUAL? OR MNEMONIC? OR GLYPH?)
S12	5105	S10(10N) (AXIS OR ICON? OR IKON? OR GRAPHIC? OR CHART? OR D-

IAGRAM? OR DRAW? OR PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR TABLE? OR TABULAR? OR VISUAL?)  
 S13 1216 (S11 OR S12) (S) (REALTIME? OR REAL()TIME? OR CURRENT? OR NOW OR PRESENT? OR IMMEDIA? OR ACTUAL? OR UPTODATE OR (UP() 'TO' (-)DATE) OR UPTOTHEMINUTE OR (UP() 'TO' () 'THE' ()MINUTE) OR INSTANT? OR PROMPT? OR DYNAMIC? OR LIVE?)  
 S14 24 S13(S) (GUI OR GUIS OR ((GRAPHICAL()USER OR MENU?() DRIVEN)-()INTERFACE?))  
 S15 13 RD (unique items)  
 S16 280 (S11 OR S12) (S) (REALTIME? OR REAL()TIME? OR DYNAMIC? OR LIVE)  
 S17 137 S16 AND PY<1999  
 S18 65 RD (unique items)  
 S19 123 (S11 OR S12) (20N) (REALTIME? OR REAL()TIME? OR DYNAMIC? OR -LIVE) AND PY<=1998  
 S20 56 (S11 OR S12) (20N) (GUI OR GUIS OR ((GRAPHICAL()USER OR MENU-?() DRIVEN)()INTERFACE?))  
 S21 30 RD (unique items)

File 15:ABI/Inform(R) 1971-2001/Sep 04  
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Set	Items	Description
S1	480542	(STACK? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTIPL?) (2N) (- BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR ORDER? OR - BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR - SOLD OR SALE? OR PURCHAS?)
S2	13665	S1(2N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR RANG? OR DEGREE? OR MAGNITUD?)
S3	10	S2(S) (GUI OR GUIS OR ((GRAPHICAL()USER OR MENU?() DRIVEN) (- )INTERFACE?))
S4	6	RD (unique items)
S5	392	S2(10N) (PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPRE- SENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR VISUAL? OR MNEMONIC? OR GLYPH?)
S6	445	S2(10N) (AXIS OR ICON? OR IKON? OR GRAPHIC? OR CHART? OR DI- AGRAM? OR DRAW? OR PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? - OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR TABLE? OR TABULAR? OR VISUAL?)
S7	56	(S5 OR S6) (S) (REALTIME? OR REAL()TIME? OR CURRENT? OR NOW - OR PRESENT? OR IMMEDIA? OR ACTUAL? OR UPTODATE OR (UP() 'TO' () - DATE) OR UPTOTHEMINUTE OR (UP() 'TO' () 'THE' () MINUTE) OR INSTAN- T? OR PROMPT? OR DYNAMIC? OR LIVE?)
S8	39	RD (unique items)
S9	1220944	(STACK? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTIPL?) (10N) - (BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR ORDER? OR BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR - SOLD OR SALE? OR PURCHAS?)
S10	101131	S9(10N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? OR RANG? OR DEGREE? OR MAGNITUD?)
S11	4346	S10(10N) (PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPR- ESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABL- E? OR TABULAR? OR VISUAL? OR MNEMONIC? OR GLYPH?)
S12	5105	S10(10N) (AXIS OR ICON? OR IKON? OR GRAPHIC? OR CHART? OR D-

IAGRAM? OR DRAW? OR PICTOR? OR PICTUR? OR TOKEN? OR ILLUSTR? OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR TABLE? OR TABULAR? OR VISUAL?)  
 S13 1216 (S11 OR S12) (S) (REALTIME? OR REAL() TIME? OR CURRENT? OR NOW OR PRESENT? OR IMMEDIA? OR ACTUAL? OR UPTODATE OR (UP() 'TO' (-) DATE) OR UPTOTHEMINUTE OR (UP() 'TO' () 'THE' () MINUTE) OR INSTANT? OR PROMPT? OR DYNAMIC? OR LIVE?)  
 S14 24 S13(S) (GUI OR GUIS OR ((GRAPHICAL() USER OR MENU?() DRIVEN) - () INTERFACE?))  
 S15 13 RD (unique items)  
 S16 280 (S11 OR S12) (S) (REALTIME? OR REAL() TIME? OR DYNAMIC? OR LIVE)  
 S17 137 S16 AND PY<1999  
 S18 65 RD (unique items)  
 S19 123 (S11 OR S12) (20N) (REALTIME? OR REAL() TIME? OR DYNAMIC? OR - LIVE) AND PY<=1998  
 S20 56 (S11 OR S12) (20N) (GUI OR GUIS OR ((GRAPHICAL() USER OR MENU- ?() DRIVEN) () INTERFACE?))  
 S21 30 RD (unique items)  
 S22 43 (S11 OR S12) (5N) (REALTIME? OR REAL() TIME? OR DYNAMIC? OR LIVE) AND PY<=1998  
 S23 20 RD (unique items)

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File 35:Dissertation Abs Online 1861-2001/Jul  
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(c) 2001 The New York Times  
File 475:Wall Street Journal Abs 1973-2001/Aug 29  
(c) 2001 The New York Times  
File 139:EconLit 1969-2001/Aug  
(c) 2001 American Economic Association

Set	Items	Description
S1	3893714	BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR PROFFER? OR ORDER? OR BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR SOLD OR SALE? OR PURCHAS?
S2	193847	S1(2N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR SCALE? OR EXTENT? OR SCOP? OR RANG? OR DEGREE? OR SPECTRUM? OR MAGNITUD?)
S3	1912201	PICTOR? OR PICTUR? OR SUBGRAPH? OR SUBDIAGRAM? OR TOKEN? OR ILLUSTRA? OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR PICTOGRAPH? OR PICTOGRAM? - OR VISUAL? OR MNEMONIC? OR GLYPH?
S4	15820	(GUI OR GUIS OR GRAPHICAL()USER()INTERFACE? OR MENU?()DRIV- EN()INTERFACE?) (10N) (AXIS OR ICON? OR IKON? OR PIT() (CENTER? - OR CENTRE?) OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW? OR S3)
S5	44	S2(S)S4
S6	44	RD (unique items)
S7	94	S2 AND S4
S8	50	S7 NOT S6
S9	50	RD (unique items)

File 77:Conference Papers Index 1973-2001/Sep  
      (c) 2001 Cambridge Sci Abs  
 File 35:Dissertation Abs Online 1861-2001/Jul  
      (c) 2001 ProQuest Info&Learning  
 File 583:Gale Group Globalbase(TM) 1986-2001/Aug 29  
      (c) 2001 The Gale Group  
 File 65:Inside Conferences 1993-2001/Aug W4  
      (c) 2001 BLDSC all rts. reserv.  
 File 2:INSPEC 1969-2001/Aug W4  
      (c) 2001 Institution of Electrical Engineers  
 File 233:Internet & Personal Comp. Abs. 1981-2001/Aug  
      (c) 2001 Info. Today Inc.  
 File 99:Wilson Appl. Sci & Tech Abs 1983-2001/Jul  
      (c) 2001 The HW Wilson Co.  
 File 473:FINANCIAL TIMES ABSTRACTS 1998-2001/APR 02  
      (c) 2001 THE NEW YORK TIMES  
 File 474:New York Times Abs 1969-2001/Aug 29  
      (c) 2001 The New York Times  
 File 475:Wall Street Journal Abs 1973-2001/Aug 29  
      (c) 2001 The New York Times  
 File 139:EconLit 1969-2001/Aug  
      (c) 2001 American Economic Association

Set	Items	Description
S1	3893714	BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR PROFFER? OR ORDER? OR BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR SOLD OR SALE? OR PURCHAS?
S2	193847	S1(2N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR SCALE? OR EXTENT? OR SCOP? OR RANG? OR DEGREE? OR SPECTRUM? OR MAGNITUD?)
S3	1912201	PICTOR? OR PICTUR? OR SUBGRAPH? OR SUBDIAGRAM? OR TOKEN? OR ILLUSTRA? OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR PICTOGRAPH? OR PICTOGRAM? - OR VISUAL? OR MNEMONIC? OR GLYPH?
S4	15820	(GUI OR GUIS OR GRAPHICAL()USER()INTERFACE? OR MENU?()DRIV- EN()INTERFACE?) (10N) (AXIS OR ICON? OR IKON? OR PIT() (CENTER? - OR CENTRE?) OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW? OR S3)
S5	44	S2(S)S4
S6	44	RD (unique items)



File 278:Microcomputer Software Guide 2001/Aug

(c) 2001 Reed Elsevier Inc.

File 256:SoftBase:Reviews,Companies&Prods. 85-2001/Jul

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Set	Items	Description
S1	42204	BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR PROFFER? OR ORDER? OR BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR SOLD OR SALE? OR PURCHAS?
S2	1260	S1(2N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR SCALE? OR EXTENT? OR SCOP? OR RANG? OR DEGREE? OR SPECTRUM? OR MAGNITUD?)
S3	19003	PICTOR? OR PICTUR? OR SUBGRAPH? OR SUBDIAGRAM? OR TOKEN? OR ILLUSTRA? OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR PICTOGRAPH? OR PICTOGRAM? - OR VISUAL? OR MNEMONIC? OR GLYPH?
S4	2142	(GUI OR GUIS OR GRAPHICAL()USER()INTERFACE? OR MENU?()DRIV- EN()INTERFACE?) AND (AXIS OR ICON? OR IKON? OR PIT() (CENTER? - OR CENTRE?) OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW? OR S3)
S5	16	S2(S)S4
S6	11	RD (unique items)

File 348:EUROPEAN PATENTS 1978-2001/AUG W03

(c) 2001 European Patent Office

File 349:PCT Fulltext 1983-2001/UB=20010816, UT=20010809

(c) 2001 WIPO/MicroPat

Set	Items	Description
S1	773199	BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR PROFFER? OR ORDER? OR BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR SOLD OR SALE? OR PURCHAS?
S2	74064	S1(2N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR SCALE? OR EXTENT? OR SCOP? OR RANG? OR DEGREE? OR SPECTRUM? OR MAGNITUD?)
S3	1038123	PICTOR? OR PICTUR? OR SUBGRAPH? OR SUBDIAGRAM? OR TOKEN? OR ILLUSTRA? OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR PICTOGRAPH? OR PICTOGRAM? - OR VISUAL? OR MNEMONIC? OR GLYPH?
S4	8111	(GUI OR GUIS OR GRAPHICAL()USER()INTERFACE? OR MENU?()DRIV- EN()INTERFACE?) AND (AXIS OR ICON? OR IKON? OR PIT() (CENTER? - OR CENTRE?) OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW? OR S3)
S5	529	S2(S)S4
S6	6603	(GUI OR GUIS OR GRAPHICAL()USER()INTERFACE? OR MENU?()DRIV- EN()INTERFACE?) (10N) (AXIS OR ICON? OR IKON? OR PIT() (CENTER? - OR CENTRE?) OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW? OR S3)
S7	15	S2(20N)S6

File 344:CHINESE PATENTS ABS APR 1985-2001/Jul  
(c) 2001 EUROPEAN PATENT OFFICE  
File 347:JAPIO OCT 1976-2001/May(UPDATED 010905)  
(c) 2001 JPO & JAPIO  
File 350:Derwent WPIX 1963-2001/UD,UM &UP=200150  
(c) 2001 Derwent Info Ltd

Set	Items	Description
S1	88526	(STACK? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTIPL?) (5N) (- DATA OR STATISTIC? OR VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? OR RANG? OR DEGREE? OR MAGNITUD?)
S2	523973	REALTIME? OR REAL()TIME? OR IMMEDIA? OR ACTUAL? OR UPTODATE OR (UP() 'TO'())DATE) OR UPTOTHEMINUTE OR (UP() 'TO'() 'THE'())MI- NUTE) OR INSTANT? OR PROMPT? OR DYNAMIC? OR LIVE
S3	8961	S2(5N) (PICTOR? OR PICTUR? DISPLAY? OR TOKEN? OR ILLUSTR? - OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR T- ABULAR? OR VISUAL? OR MNEMONIC? OR GLYPH? AXIS OR ICON? OR IK- ON? OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW?)
S4	61	S1(S)S3
S5	1	S4 AND IC=G06F-017/00
S6	1	S1 AND S3 AND IC=G06F-017/00
S7	6092	S1(S) (PICTOR? OR PICTUR? DISPLAY? OR TOKEN? OR ILLUSTR? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TAB- ULAR? OR VISUAL? OR MNEMONIC? OR GLYPH? AXIS OR ICON? OR IKON? OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW?)
S8	39	S7 AND IC=G06F-017/00

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File 350:Derwent WPIX 1963-2001/UD,UM &UP=200148  
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Set	Items	Description
S1	1079995	BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR PROFFER? OR ORDER? OR BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR SOLD OR SALE? OR PURCHAS?
S2	48766	S1(5N)(VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR SCALE? OR EXTENT? OR SCOP? OR RANG? OR DEGREE? OR SPECTRUM? OR MAGNITUD?)
S3	2100955	GUI OR GUIS OR GRAPHICAL()USER()INTERFACE? OR MENU?()DRIVE- N()INTERFACE? OR AXIS OR ICON? OR IKON? OR PIT()(CENTER? OR C- ENTRE?) OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW?
S4	1114914	PICTOR? OR PICTUR? OR SUBGRAPH? OR SUBDIAGRAM? OR TOKEN? OR ILLUSTRA? OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR PICTOGRAPH? OR PICTOGRAM? - OR VISUAL? OR MNEMONIC? OR GLYPH?
S5	4855940	STACK? OR TOTAL? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTI- PL? OR UNIF? OR MATCH? OR COLLECTIV? OR MERG? OR CONNECT? OR - TIE? OR TYE? OR CORRELAT? OR EQUAT?
S6	4283	S2 AND (S3 OR S4) AND S5
S7	790	S6(S)(REALTIME? OR REAL()TIME? OR CURRENT? OR NOW OR PRESE- NT? OR IMMEDIA? OR ACTUAL? OR UPTODATE OR (UP()'TO'())DATE) OR UPTOTHEMINUTE OR (UP()'TO'())'THE'()MINUTE) OR INSTANT? OR PRO- MPT? OR DYNAMIC? OR LIVE?)
S8	28	S7 AND (IC=G06F-017/00 OR MC=T01-H07C5 OR MC=T01-J05A1 OR - MC=T01-J12D OR MC=T05-L01D)

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File 350:Derwent WPIX 1963-2001/UD,UM &UP=200148  
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Set	Items	Description
S1	1079995	BID? ? OR BIDD? OR OFFER? OR TRADE? OR TRADING? OR PROFFER? OR ORDER? OR BUY? OR BOUGHT OR DEAL? OR TRANSACT? OR EXCHANG? OR SELL? OR SOLD OR SALE? OR PURCHAS?
S2	48766	S1(5N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR SCALE? OR EXTENT? OR SCOP? OR RANG? OR DEGREE? OR SPECTRUM? OR MAGNITUD?)
S3	2100955	GUI OR GUIS OR GRAPHICAL()USER()INTERFACE? OR MENU?()DRIVE- N()INTERFACE? OR AXIS OR ICON? OR IKON? OR PIT() (CENTER? OR C- ENTRE?) OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW?
S4	1114914	PICTOR? OR PICTUR? OR SUBGRAPH? OR SUBDIAGRAM? OR TOKEN? OR ILLUSTRA? OR REPRESENT? OR DEPICT? OR PORTRAY? OR SYMBOLI? OR EXPRESS? OR TABLE? OR TABULAR? OR PICTOGRAPH? OR PICTOGRAM? - OR VISUAL? OR MNEMONIC? OR GLYPH?
S5	4855940	STACK? OR TOTAL? OR AGGREGAT? OR BULK? OR COMBIN? OR MULTI- PL? OR UNIF? OR MATCH? OR COLLECTIV? OR MERG? OR CONNECT? OR - TIE? OR TYE? OR CORRELAT? OR EQUAT?
S6	4283	S2 AND (S3 OR S4) AND S5
S7	790	S6(S) (REALTIME? OR REAL()TIME? OR CURRENT? OR NOW OR PRESE- NT? OR IMMEDIA? OR ACTUAL? OR UPTODATE OR (UP() 'TO' ()DATE) OR UPTOTHEMINUTE OR (UP() 'TO' () 'THE' ()MINUTE) OR INSTANT? OR PRO- MPT? OR DYNAMIC? OR LIVE?)
S8	28	S7 AND (IC=G06F-017/00 OR MC=T01-H07C5 OR MC=T01-J05A1 OR - MC=T01-J12D OR MC=T05-L01D)
S9	32817	S1(3N) (VOLUM? OR LEVEL? OR AMOUNT? OR QUANTIT? OR MEASUR? - OR SCALE? OR EXTENT? OR SCOP? OR RANG? OR DEGREE? OR SPECTRUM? OR MAGNITUD?)
S10	0	S9(S) ((GUI OR GUIS OR GRAPHICAL()USER()INTERFACE? OR MENU?- (())DRIVEN()INTERFACE?) (20N) (AXIS OR ICON? OR IKON? OR PIT() (CE- NTER? OR CENTRE?) OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW? - OR S4))
S11	6	S9(S) ((GUI OR GUIS OR GRAPHICAL()USER()INTERFACE? OR MENU?- (())DRIVEN()INTERFACE?) AND (AXIS OR ICON? OR IKON? OR PIT() (CE- NTER? OR CENTRE?) OR GRAPHIC? OR CHART? OR DIAGRAM? OR DRAW? - OR S4))

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File 348:EUROPEAN PATENTS 1978-2001/AUG W03  
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File 349:PCT Fulltext 1983-2001/UB=20010816, UT=20010809  
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File 350:Derwent WPIX 1963-2001/UD,UM &UP=200148  
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File 344:CHINESE PATENTS ABS APR 1985-2001/Jul  
(c) 2001 EUROPEAN PATENT OFFICE

Set	Items	Description
S1	28	AU="FRIESEN RICHARD":AU="FRIESEN RICK"
S2	4	S1 AND TRAD? AND INTERFACE?
S3	21	AU="HART P" OR AU="HART P S" OR AU="HART PETER"
S4	3	S3 AND USER()INTERFACE?